OFFICER PERFORMANCE APPRAISAL IN THE COAST GUARD: AN ANALYSIS OF THE FITNESS REPORTING SYSTEM

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THESIS

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by

Robert Clarence Olsen, Jr.

and

Jay Clarence Oakman

December 1979

Thesis Co-Advisors: J. Senger, R. Elster

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An analysis of the current system was made, set against the background of a comprehensive literature review. Data from telephone interviews, a sample of 100 actual Coast Guard fitness reports, and other sources were analyzed to determine which systemic variables were/were not effective. Based on the foregoing analysis, several system modifications were suggested to increase the efficiency and effectiveness of the current system.

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Officer Performance Appraisal in the Coast Guard: An Analysis of the Fitness Reporting System

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I. INTRODUCTION

Many organizations, in both the public and private sectors of the United States economy, find it necessary to periodically evaluate their personnel in order to determine who should be promoted, and who should not. This is particularly true of those organizations following an "up-or-out" tradition or legal requirement in which those not promoted are eventually dropped from employment. All of the uniformed U.S. military services, including the United States Coast Guard, promote their officer personnel on this basis.

In larger and more complex organizations, quite often the appraisal process is designed around user needs for system efficiency and administrative convenience. The importance of this aspect has traditionally been emphasized in the Coast Guard, as it has within the other services. Recently though, and probably as a function of the organizations' intensified interest in more fully cultivating its human resources, there has been increased emphasis placed upon other dimensions of their performance appraisal systems, i.e., with respect to a focus on needs-of-the-individual goals (e.g., counseling, development, goal-directed planning, etc.).

Some of the considerations involved in "humanizing" the Coast Guard's Officer Fitness Reporting System, with respect to both the reporting officer and subordinate reported on, (that would not materially degrade system efficiency) will be explored in this thesis.

Performance appraisal in the U.S. Coast Guard is accomplished by two separate and distinct systems, i.e., the Enlisted Performance Evaluation System, and the Officer Fitness Reporting System. This thesis will consider only the aspects of the latter system. (For a more thorough treatment of the former, see Stumpff and Chevalier, 1976).

During an evaluation of the existing system for performance appraisal, the current top management of the Coast Guard has recently claimed that

> ...the present fitness reporting system has many advantages. It is simple and straightforward and does not require great expenditures of time or effort in either application or administration (i.e., it is administratively convenient). It provides performance information which (has) been adequate for use in personnel actions, primarily as a major input to best qualified promotion boards. Despite these advantages, however, it is recognized that the officer fitness reporting system is currently suffering from the problems typical of similar performance appraisal systems (i.e., increasing numerical mark inflation),...Recent Coast Guard efforts to maintain the effectiveness of the current fitness report evaluation system, and to prevent or minimize this mark inflation, are primarily based on maintaining a dialogue with the officer corps and on introducing relatively minor form and procedure changes which should enhance the credibility of the system and encourage less (inflationary marking behavior)... (foregoing quotes were extracted from recent discussions with the Coast Guard's Chief of Personnel, G-P, and his staff).

Additionally, the Coast Guard is planning to have developed a fitness report system revision, to be used as a replacement (or supplement) in the event that current efforts are not successful in producing a reliable and more acceptable spread

of marks. It is, of course, in the best interests of the organization to reduce or minimize the period of uncertainty associated with this decision. If there is, in fact, dissatisfaction with the current system, then there is a need for a reevaluation of its many components. Such a reevaluation should include:

a. A review of the pertinent performance appraisal literature, for both the public and private sectors.

b. A review of the historical evolution of the Coast Guard's promotion system, and the fitness report system (of which it is a part).

c. A review of the current problems with the system (as perceived by Coast Guard Headquarters) and the announced strategies for solving them.

d. A critical analysis of the current Coast Guard Fitness Reporting System, including a brief discussion of the trade-offs involved with the announced strategies.

e. Recommendation and/or modification implications based upon the foregoing analysis.

Top management in the Coast Guard will soon be making major decisions regarding the future of the current Fitness Reporting System. The purpose of this thesis is to provide a reevaluation and analysis of the system, in order to provide information to support that decision making process.

II. A BACKGROUND FOR PERFORMANCE APPRAISAL: CONCEPTS AND CONTROVERSIES

Performance appraisal can perform many different functions, depending on the desires and needs of its ultimate users. This chapter will describe the many possible approaches, techniques, and uses of and for performance appraisal. Additionally, an assessment model will be reviewed to give the reader a better appreciation for the many variables and trade-offs involved in system design or evaluation. Virtually all of the concepts presented herein are the thoughts, research, and findings of the recognized experts, in the field of performance appraisal and/or one of the many disciplines related to it, i.e., behavioral psychology, organizational theory, economics, mathematics, and accounting.

In the literature, the description and/or evaluation of suitability, performance, effectiveness, competence, etc., has been variously described as personnel rating and/or appraisal, (job-oriented) merit rating, job evaluation, and personnel performance evaluation. The military has chosen another group of terms, e.g., everything from Officer Efficiency/Effectiveness/Evaluation Report (3 versions of OER) to Officer Fitness Report (in the Sea Services). It seems though, that the most-consistently-found descriptive term, in libraries and in most indices is Performance Appraisal. It seems to be the generally-accepted term-of-choice used in referring to the

entire spectrum of phenomena, systems, and processes. Throughout the thesis, we will employ this terminology whenever possible and/or convenient.

A. HISTORICAL PERSPECTIVE

The historical evolution of formal management appraisals suffers no dearth of articles and ideas; a bibliography by Walter R. Mahler (1947), published over 30 years ago, lists some 600 books, articles, and pamphlets on the subject, "Merit Rating - Appraisals."

The first real interest in the rating of personnel came out of the experience and reports of the United States Military in World War I, and quite a few publications on appraisals appeared in the early 1920's.

As numerous studies in psychology and the behavioral sciences evolved, the economic and social pressures of the 1930's emphasized the use of psychological tests and attitude surveys to improve employee selection and placement. The objectives of such work were not always too clearly defined, but they were generally aimed at improving morale as a means to increasing productivity, lowering costs, and cutting down absenteeism. Thus, the second phase in appraisals developed.

As far as it could be determined, the third phase in performance appraisals probably stemmed from the work done, from 1927 to 1932 by the Harvard Business School research group, with the 20,000 employees at the Hawthorne Works of the Western Electric Company. Those who are familiar with

the major report on the Hawthorne Experiment [Roethlisberger and Dickson, 1939] will recall that, at one point, considerable emphasis was placed on the use of employee interviewer-counselors to encourage two-way communication and thus increase both morale and productivity.

The fourth phase in the development of appraisals came into national prominence at the close of World War II, when many companies found that, because of upheavals produced by the war and unexpected postwar expansions, they were woefully thin in managerial talent. It was also about this time that, with the growing complexity of modern management systems, there developed a realization that seasoned, high-caliber executives are not born, but can and must be developed. In short, "management development" programs began to receive considerable attention for the first time.

B. VARIOUS APPROACHES TO PERFORMANCE APPRAISAL IN USE TODAY

In order to give the reader some feeling of the scope of the literature, it is considered helpful to cite Oberg (1972) who identified nine of the most commonly used appraisal techniques as: Essay appraisal; Graphic Rating Scale; Field Review; Forced-choice Rating; Work Standards approach; Critical Incident appraisal; Management by Objectives (MBO) approach; Ranking Methods; and Assessment Centers. To this list, Zawacki and Taylor's (1976) research added Peer Rating and Subordinate-rating-supervisor. Margerison (1976) added Subordinate Self-assessment. Locher and Teel (1977) added

Checklist, and Employee Comparison. Haynes (1978) has discussed the possibility of Work Sample Tests. Kearney (1979) has advocated the use of Behaviorly Anchored Rating Scales (BARS) as a useful approach. Admittedly, there is some overlap and a few of the approaches differ only by minor semantic distinctions; however, it is clear that there are many schools of thought with respect to the manner in which performance appraisal is accomplished. In the paragraphs to follow, we will group these many approaches into two general categories, i.e., the Conventional Approach and the Collaborative Approach. We will attempt to give the reader a better appreciation for their relative strengths and weaknesses, the necessity of employing them at all, an idea of who normally does the appraising, how often they do it, and how well they are (typically) trained for it. Finally, we will offer a good rule-of-thumb criteria to assist in answering the question: which approach is the most effective?

1. Conventional Approach

What Philip R. Kelly (1958) termed the "conventional appraisal" is now known by the name "traditional approach" [Zawacki and Taylor, 1976]. The "traditional" writers normally advocate the more quantitative-oriented techniques, which will be summarized briefly below:

Objective measures: Objective measures attempt to quantify individual results. The most popular application of this technique is using units produced to appraise production

workers. When applied alone, the technique is deficient, since it does not also consider behavior factors [Haynes, 1978].

Graphic-rating scale: Quite probably the most popular rating technique, where the rater is required to make a judgement and then record it somewhere on a continuum from a low to high degree of the factor being appraised. Thus, the rater evaluates, often on an employee-comparison basis, "the level of employee performance in each category by checking a box, circling a number or letter, or by placing a mark along a continuum line" [Locher and Teel, 1977]. "These graphic scales are usually supplemented with a series of adjectives or short statements describing the factor(s)," reports [Haynes, 1978], who claims that "this is the most popular technique." According to Oberg (1972);

> This technique may not yield the depth of an essay appraisal, but it is more consistent and reliable. Typically, a graphic scale assesses a person on the quality and quantity of his work (is he outstanding, above average, average, or unsatisfactory?) and on a variety of other factors that vary with the job but usually include personal traits like reliability and cooperation. It may also include specific performance items like oral and written communication...The graphic scale has come under frequent attack, but remains the most widely used rating method. In a classic comparison between the 'old fashioned' graphic scale and the much more sophisticated forced-choice technique, the former proved to be fully as valid as the best of the forced-choice forms, and better than most of them. (See Berkshire and Highland, 1953.) It is also cheaper to develop and more acceptable to raters than the forced-choice form. For many purposes there is no need to use anything more complicated than a graphic scale supplemented by a few essay questions.

Forced-choice report: In this technique, an appraiser is asked to describe, without evaluation, the person being appraised by selecting one or more descriptive terms from a set. The terms in each set are matched, so that they appear equally favorable or unfavorable to the appraiser. Therefore, the system assumes that the appraiser does not know which term to select in order to give a high or low rating, the most descriptive will be chosen. This method has an inherent advantage, in that it resists a supervisor's potential manipulation in the direction of some preconceived strategy; consequently, it is resisted by them. Due to subtlety, it has little value in performance discussions [Haynes, 1978]. According to Oberg (1972):

> ...this technique was developed to reduce bias and establish objective standards of comparison between individuals,...(however) it tends to irritate raters, who feel that they are not being trusted. They want to say openly how they rate someone and not be second-guessed or tricked into making 'honest' appraisals...A few clever raters have even found ways to beat the system.

Weighted Random Checklists: Forms used in this technique are made up of a number of brief descriptive phrases which have been assigned scoring weights during the design of the form. These weights are unknown to the appraiser. The forms are completed by the appraiser checking applicable phrases, after which they are evaluated by a staff specialist. The most difficult aspect of this technique is arriving at a proper weighting of various items on the checklist [Haynes, 1978].

Ranking Methods: For comparative purposes, particularly when it is necessary to compare people who work for different supervisors, individual statements, ratings, or appraisal forms are not particularly useful [Oberg, 1972]. Instead, it is necessary to recognize that comparisons involve an overall subjective judgement to which additional facts and impressions must somehow be added. There is no single form or way to do this. Comparing people in different units for the purpose of, say, choosing a service supervisor or determining the relative size of salary increases for different supervisors, requires subjective judgement, not statistical analysis. Again, according to Oberg, the best approach appears to be a ranking technique involving pooled judgement. The two most effective methods are alternation ranking and paired comparison ranking. From Haynes (1978):

> alternation ranking: from the group select first the highest-ranked, then the next-highest-ranked, then the lowest-ranked. Remove these names from the list and repeat the procedure until everyone is ranked.
>
> paired comparison: prepare cards with two names on them, so that every employee in the group is paired with everyone else. Then judge all pairs, marking the better of the two. The person marked most frequently is placed on the top of the list and so on, until the person with the least number of marks is on the bottom.

According to Haynes, ranking is used by some companies as the only means of appraising, although research has not shown it to be particularly reliable or valid. "It is free of leniency and central tendency but is limited by

its inability to show relative distance between two adjacent people. As a result of this, distortion occurs when exceptional performers (either high or low) are included in a ranking list."

On the plus side Oberg claims: "Both ranking techniques, particularly when combined with multiple rankings (i.e., when two or more people are asked to make independent rankings of the same work group and their lists are averaged), are among the best available for generating valid order-of-merit rankings for salary administration purposes."

Work-Sample Tests: Here employees are periodically given work-related tests which are then evaluated. These tests, so far have been limited to mechanical and clerical tasks due to the difficulty of constructing them. As in objective measures, behavior factors are omitted. Also, the environment of a testing situation may not reflect actual capability, which can be affected by nervousness, concentration of effort, and increased motivation to excel [Haynes, 1978].

Other "traditional" writers have advocated the use of quantitative methods in general to remedy other problems associated with performance appraisal consistency, e.g., rater inflation and the "halo effect" [Duffy and Webber, 1974; Glickman, 1955; Hollander, 1956; Taylor and Wastad, 1974].

Before turning to the Collaborative Approach, we must consider the last of the approaches that do not necessarily rely on quantitative tactics, but are "traditional" nonetheless.

Essay Appraisal: This method requires the appraiser to write a narrative report on an employee's performance. In its simplest form, this technique asks the rater to write a paragraph or more covering an individual's strengths, weaknesses, potential, and so on. In most selection situations, particularly those involving professional, sales, or managerial positions, essay appraisals from former employers, teachers, or associates carry significant weight. The assumption seems to be that an honest and informed statement - either by word of mouth or in writing - from someone who knows the man/woman well, is fully as valid as more formal and complicated methods [Oberg, 1972]. The biggest drawback to essay appraisals is their variability in length and content, a quality which Haynes states "...is limited by the imagination and literary ability of the appraiser." Moreover, since different essays touch on different aspects of an individual's performance or personal qualities, essay ratings are difficult to combine or compare. Oberg feels that, for comparability, some type of more formal method, like the graphic rating scale, is desirable.

Field Review: When there is reason to suspect rater bias, when some raters appear to be using higher standards than others, or when comparability of ratings is essential, essay or graphic rating scales are often combined with a systematic review process. The field review is one of several techniques for doing this. A member of the personnel or central

administrative staff meets with small groups of raters from each supervisory unit and goes over each employee's rating with them to (a) identify areas of interrater disagreement, (b) help the group arrive at a consensus, and (c) determine that each rater conceives the standards similarly. This group-judgement technique tends to be more fair and more valid than individual ratings, according to Oberg, and also permits the central staff to develop an awareness on the varying degrees of leniency or severity - as well as bias - exhibited by raters in different departments. On the negative side though, the process is very time consuming.

Behavorially Anchored Rating Scales: BARS, and the concept of behavioral anchoring has recently appeared in the literature to an increasing degree. The development of, and an evaluation of behaviorally based rating scales was explored in 1973 by Hellervik who explained:

> Behavior is what people do at work (e.g., operate a cash register, type, answer phones, etc.). Performance is behavior that is evaluated ('good' or 'bad') based on contribution to organizational goals. Effectiveness is the degree to which accurately identified organizational objectives are achieved. It is determined by the sum total of outcomes, some of which are largely controllable by an individual's behavior, and some of which are not (e.g., sales territory, advertising budget, equipment maintenance, etc.).

Kearney (1979) expanded this concept for the goal-directed planning/MBO approach to performance appraisal, in which subordinates are likely to fall into four major performance categories, i.e., outstanding, satisfactory,

below average, and clearly unsatisfactory [Gellerman, 1976]. Kearney felt that appraisal that seeks to assist employees in improving their performance should be directed to the group that needs it and can likely benefit from it, rather than to all employees. This is a group that is motivated, but demonstrates lack of insight as to exactly how job performance can be improved. Goal directed planning/MBO is helpful when inappropriate goals are the problem. But when this is not the case, explicit examples of job behavior are needed. In some instances, these employees may also need skill training or coaching by a supervisor to adopt these behaviors in their work routine. For such individuals, behaviorally anchored rating scales (BARS) offer specific guidelines.

With respect to the day-to-day management of enlisted personnel, it is felt that BARS could be quite valuable. In fact, the new Coast Guard enlisted evaluation system has both goal-directed planning/MBO and behavioral anchoring features designed into it. Thus, where motivation is high and rewards are valued, but where individual deficiencies can be traced to lack of abilities and ambiguous role perceptions, the addition of BARS to MBO, in the action planning stage, is an opportunity for managers to raise both individual and organizational effectiveness. While the addition of BARS to MBO is certainly not the ultimate answer to ineffective performance, it can be a definite step toward improved individual and organizational achievement.

Nomination: Appearing in the literature only recently (1978), Marion Haynes has characterized this technique as having been:

> ...developed from the concept that most employees are satisfactory performers. Appraisers are asked to identify exceptionally good and exceptionally poor performers, who are thus singled out for special treatment. Since it does not give any information on the satisfactory performer, this technique alone is inadequate. However, when used with other techniques, it can be worthwhile.

Critical-Incident Appraisal: Last, but not least of what we have termed the "traditional" approaches, this technique will offer us an excellent transition to the Collaborative Approach as well. As Haynes has characterized it:

> ...this technique requires the appraiser to record any specific examples of outstandingly good or poor performance. In addition to being burdensome, the technique is unpopular, as it highlights extreme performance to the exclusion of day-to-day performance, which usually is the real measure of a person's effectiveness. A modification of this technique is used where the appraiser is asked to cite examples to support a judgement on some other appraisal technique.

Oberg's (1972) observations regarding this technique are also quite germane in that:

> ...the discussion of ratings with employees had, in many companies, proved to be a traumatic experience for supervisors. Some have learned, from bitter experience, what General Electric later documented (i.e.), people who receive honest but negative feedback are typically not motivated to do better - and often do worse - after the appraisal interview. (See Meyer, Kay, and French, 1965.) Consequently, supervisors tend to avoid such interviews, or if forced to hold them, avoid giving negative ratings when the ratings have to be shown to the employee.

One stumbling block has no doubt been the unsatisfactory rating form often used. Typically, these are graphic scales that often include rather vague traits like initiative, cooperativeness, reliability, and even personality. Discussing these with an employee can be difficult.

The critical incident technique looks like a natural to some people for performance review interviews, because it gives a supervisor actual factual incidents to discuss with an employee. Supervisors are asked to keep a record, a 'little black book', on each employee and to record actual incidents of positive or negative behavior. For example:

Bob Mitchell, who has been rated as somewhat unreliable, fails to meet several deadlines during the appraisal period. His supervisor makes a note of these incidents and is now prepared with hard, factual data:

'Bob, I rated you down on reliability because on three different occasions over the last two months, you told me you would do something and you didn't do it. You remember six weeks ago when I ...'

Instead of arguing over traits, the discussion now deals with actual behavior. Possibly, Bob has misunderstood the supervisor or has good reasons for his apparent 'unreliability'. If so, he now has an opportunity to respond. His performance, not his personality, is being criticized. He knows specifically how to perform differently if he wants to be rated higher the next time. Of course, Bob might feel the supervisor was using unfairly high standards in evaluating his performance. But at least he would know just what those standards are.

There are, however, several drawbacks to this approach. It requires that supervisors jot down incidents on a daily or, at the very least, a weekly basis. This can become a chore. Furthermore, the critical incident rating technique need not but may, cause a supervisor to delay feedback to employees. And it is hardly desirable to wait six months or a year to confront an employee with a misdeed or mistake.

Finally, the supervisor sets the standards. If they seem unfair to a subordinate, might he not be more motivated if he at least has some say in setting, or at least agreeing to, the standards against which he is judged?

Building on all of the foregoing examples, there seems to be ample evidence to support the findings of some

writers [Mayfield, 1960; Stone, 1973] who claim that the "traditional" rating systems are indeed effective when used with reasonable judgement. On the other hand, there are other writers who can quite successfully argue that, based on the relative uncertainty generally associated with the situational nature of performance appraisal which, in turn, is further complicated by the measurable lack of reliability and presence of rating errors inherent in any personnel framework, it seems that any (heavily) formalization-dependent system (that attempts to "measure" behavior with numbers) will have inaccurate ratings for outputs. (See Galbraith, 1973; Borman, Hough, and Dunnette, 1978; Hamner and Organ, 1978.)

2. Collaborative Approach

An entirely different group of authors believe that the "traditional" approach ignores the potential adverse impact that an improperly designed performance appraisal system can have on an individual's needs and attitudes toward their job, the way work is expected to be done, and his/her loyalty and confidence in the organization of which they are a part [Conant, 1973; Kelly, 1958; Kindall and Gatza, 1963; Levinson, 1962; McGregor, 1957; Odiorne, 1974; Thompson and Dalton, 1970]. This latter group recommends a collaborative approach to performance appraisal where the human development of the employee is the major concern. They make a normative argument for increased communication. This communication is

focused on joint goal-setting and feedback. A limited number of field experiments have given impetus to the collaborative approach [Cummings, 1973; Ivancevich, 1974; Kay, Meyer, and French, 1965; Raia, 1965, Zander and Gyr, 1955].

As was the case with the previous category, the Collaborative Approach is composed of a number of similar and somewhat related techniques. We will consider, in order, Management By Objectives (MBO), Developmental/ Maintenance/Remedial Action Plans (DAP/MAP/RAP), and Assessment Centers.

Management By Objectives: Simply characterized by Zawacki and Taylor (1976) as "... a process consisting of a series of steps involving joint goal setting, action planning, self control, and periodic progress reviews," the appraisal strategy is actually an outgrowth of the MBO management philosophy first espoused by Peter Drucker in the mid-50's. Again, one of the best overall summaries of the technique comes from Winston Oberg (1972):

> To avoid, or to deal with, the feeling that they are being judged by unfairly high standards, employees in some organizations are being asked to set - or help set - their own performance goals. Within the past five or six years, MBO has become something of a fad and is so familiar to most managers that I will not dwell on it here.
>
> It should be noted, however, that when MBO is applied at lower organizational levels, employees do not always want to be involved in their own goal setting. As Arthur N. Turner and Paul R. Lawrence (1965) have discovered, many do not want self-direction or autonomy. As a result, more coercive variations of MBO are becoming increasingly common, and some

> critics see MBO drifting into a kind of manipulative form of management in which pseudo-participation substitutes for the real thing. Employees are consulted, but management ends up imposing its standards and objectives. (See Levinson, 1970.)

Developmental/Maintenance/Remedial Action Plans (DAP/MAP/RAP): An earlier version of the preceeding technique that perhaps addresses some of its criticisms. L.L. Cummings and Donald P. Schwab, have written an article for the California Management Review in 1973 that illustrates very well the differences between an essentially evaluative and a developmental use of appraisal systems and techniques. Quoting from the article:

> Evaluative uses of appraisal focus on providing information for making administrative decisions about employees. Examples of such decisions would be compensation changes, promotions, demotions, or transfers and even termination decisions. As developmental tools, appraisals are aimed at improving both performance and the potential for performance by identifying areas for growth and personal development. The essential differences between these two approaches are depicted in Table 1.

Table 1. Appraisals for Evaluation and Development

	Evaluative Role of Appraisal	Developmental Role of Appraisal
Focus	On past performance	On improvement in future performance
Objective	Improve performance by more effective personnel and reward administration	Improve performance through self-learning and growth
Method	Variety of rating and ranking procedures	Series of developmental steps as reflected, for example, in management by objectives.

Role of Superior	To judge, to evaluate	To counsel, help, or guide
Role of Subordinate	Passive or reactive, frequently to defend himself/herself	Active involvement in learning

Adapted from L.L. Cummings and Donald P. Schwab, Performance in Organizations (Glenview, Ill.: Scott, Foresman and Company, 1973), p. 5.

Again quoting from their article:

> Historically, the predominant use of performance appraisals has been for evaluation of past and current performances of employees. This use of appraisal as an evaluative tool has been consistent with the use of the major techniques of the personnel profession. The responsibility for definition of organizational goals, the description and analysis of tasks to be completed, and the evaluation of employee performance rested on management's shoulders. The employee was viewed as largely constrained in his or her responsibility to carry out the activities contained within the job descriptions developed by managerial and staff personnel. This distinction between managerial and subordinate responsibilities became epitomized in the separation of the planning and controlling (appraising) versus the doing of work. Systems of work simplification, applied industrial engineering, and scientific management were developed to implement this distinction in the pursuit of employee efficiency.

The remainder of the Cummings and Schwab article discusses the impact that events and trends in managerial thinking during the past fifteen years have had in transforming what was primarily an evaluative philosophy. They go on to discuss "...Several of these nudges toward a broader conception of appraisal (that) are noteworthy." Again, from the article:

First, there is increasing awareness that traditional performance appraisal techniques have failed to record the full variance or range of an individual's performance. This is partially because evaluators commit systematic errors when rating their subordinates. For example, tendencies toward unrealistically favorable (or unfavorable) evaluations are well documented. Appraisers also may tend to avoid spreading out their evaluations to the extent warranted by the actual performance differences among people. These, and other, errors in evaluating are well known and have generated considerable skepticism concerning traditional rating procedures and formats.

Second, it has become increasingly apparent that most jobs are not solely and completely defined by the organization through the processes of job analysis and job description. Incumbents of jobs enact and change the nature of their jobs over time. The nuances and subtleties of performing for many jobs provide ample opportunities for individuals to express their preferences and skills in actually carrying out the formal requirements of the task. In addition, the requirements of a task change over time as the performer learns the fundamentals of a job and begins to see opportunities for innovation and constructive change. Typically, these differences among individual performers in their perceptions of a job and the dynamic nature of tasks are not captured in static appraisal systems and procedures.

Third, evaluative appraisal became a favorite straw man of a number of advocates of work and organization humanization. McGregor, Argyris, and Drucker each attacked the traditional evaluative systems of appraisal as mechanical, hierarchically centered and controlled, and demotivating artifacts of the bureaucratic system. The pebble of truth in these assertions was just large enough to cause a ripple of popular attack and pessimism concerning appraisals for evaluative purposes. These largely philosophic and normative confrontations appeared to be supported by the early results of an empirical study of reactions to appraisals among General Electric employees. It was observed that bosses typically resisted conducting appraisals and providing feedback and subordinates typically did not change their behavior as a consequence of receiving evaluations. At worst, employees were reported to react hostilely and defensively to attempts to improve their performance through evaluation and feedback. Thus, the essentially

speculative arguments of the 1950's and 1960's and some empirical evidence suggested that appraisals for evaluation were of limited value. Despite the need to assess performance and make decisions based on those assessments, the hue and cry was heard for abandoning the evaluative tone and for focusing primarily on the developmental purpose and rationale of appraisal.

Cummings and Schwab follow the foregoing discussion with a suggestion of the need "to assume a contingency posture toward designing, implementing and evaluating employee appraisals." They then propose three systems "as a movement in this direction..." Again, quoting from their article:

> Developmental action program. A developmental action program (DAP) is applicable for the relatively small number of employees with a history of high performance. Such employees are found on jobs where goal setting and performance enhancement can take place. They are, therefore, ideally suited to benefit from developmental appraisal systems. Although specifics of such systems may vary, they will include: (1) participation by the subordinate in the establishment of goals; (2) subordinate and superior agreement on methods for measuring performance or additional skills and resources necessary to accomplish performance goals; (3) participation in review sessions to assess goal progress; and (4) recycling through the goal-setting phase.
>
> It can be reasonably assumed that individuals with a performance history justifying DAP can benefit from the implications of developmental appraisal. Participation in goal setting allows for the establishment of meaningful and challenging goals. Participation in review holds few of the dangers of distortion identified above because the individual is already a high performer. Finally, there is relatively little potential conflict between developmental and evaluative aspects in DAP since the manager can assure the performer that he or she will receive favorable organizational rewards. Indeed, a successfully implemented DAP will generally lead to promotion or increased responsibility through job enrichment.

Maintenance action program. For most employees an appraisal focused on a maintenance action program (MAP) will be appropriate. MAP is applicable for individuals who are not likely to improve their performance because of ability or motivational constraints, or on jobs that do not allow for meaningful goal setting and performance enhancement. The focus, therefore, of MAP is on maintaining performance at the currently acceptable levels.

Emphasis, and therefore the processes, of MAP and DAP differ substantially. In a MAP the supervisor and the technology of the job will be primarily responsible for the establishment of work goals and objectives. Review of work performance is the supervisor's responsibility. While reviews should be scheduled in accordance with the completion time of the assigned tasks, frequently the timing of reviews is determined by the calendar, that is, the employee's anniversary date with the organization.

We recognize that the premises of MAP (and remedial action programs, discussed below) are contrary to the humanistic ideal of universal potential for growth and development. Certainly employees should not be relegated to a MAP until several appraisals point consistently in the same direction. Nevertheless, employees do reach growth limits or are placed on jobs which constrain further development. Attempts to develop such employees in thier current roles is wasteful to the organization and potentially frustrating, if not threatening, to the employee.

If an individual on a MAP performs at a consistnetly high level, he or she should be considered for a DAP. Such a possibility may require that the employee be assigned to a job allowing for greater performance variability. Regression from MAP is, of course, also possible. In that case the employee should be considered for a remedial action program.

Remedial action program. The most troubling employees for managers are those whose performance has been consistently marginal or unacceptable and are, therefore, candidates for a remedial action program (RAP). A RAP is aimed at performance improvement through close supervisory controls. Failing that, termination of the employee is the aim. Thus, a RAP must provide specific supervisory feedback on performance deficiencies. Frequent examples of behaviors reflecting acceptable and unacceptable behaviors are desirable. Clearly, self-appraisal is undesirable in a RAP given the findings discussed above concerning the effects of self-feedback.

A RAP also should include specific programs for improved performance imposed by the supervisor which include the explicit identification of performance measures and time perspectives for review. Moreover, the review intervals should be of very short duration; at least until performance levels begin to improve.

If performance fails to improve or declines after the initiation of a RAP, the manager is obligated to initiate an explicit sequence resulting in a final step of termination. Ideally, the aim of such a sequence is either the return of performance to an acceptable level or the voluntary separation of the employee. Such a sequence must be explicit and formal in the sense that the employee understands that he or she has moved into this phase of the RAP. Such knowledge is not only an ethical requirement but will undoubtedly be necessary if the terminated employee takes legal action.

Assessment Centers: Last, but not least to be discussed, among the so-called Collaborative approaches, is the Assessment Center. Again quoting from Winston Oberg (1972):

So far, we have been talking about assessing past performance. What about the assessment of future performance or potential? In any placement decision and even more so in promotion decisions, some prediction of future performance is necessary. How can this kind of prediction be made most validly the most fairly?

One widely used rule of thumb is that "what a man has done is the best predictor of what he will do in the future." But suppose you are picking a man to be a supervisor and this person has never held supervisory responsibility? Or suppose you are selecting a man for a job from among a group of candidates, none of whom had done the job or one like it? In these situations, many organizations use assessment centers to predict future performance more accurately.

Typically, individuals from different departments are brought together to spend two or three days working on individual and group assignments similar to the ones they will be handling if they are promoted. The pooled judgment of observers - sometimes derived by paired comparison or alternation ranking - leads to an order-of-merit ranking for each participant. Less structured, subjective judgments are also made.

> There is a good deal of evidence that people chosen by assessment center methods work out better than those not chosen by these methods. The center also makes it possible for people who are working for departments of low status or low visibility in an organization to become visible and, in the competitive situation of an assessment center, show how they stack up against people from more well-known departments. This has the effect of equalizing opportunity, improving morale, and enlarging the pool of possible promotion candidates. (See also Albrook, 1968 and Byham, 1970.)

Before proceeding any further, to such questions as: Which system is better/best?, we need to address a few more basic issues, i.e.:

3. Who Does The Appraising? How Often?

A Locher and Teel survey (1977) has indicated that, "... in 98.9% of the responding organizations, appraisals are made by the employee's immediate supervisor, either alone or in conjunction with others." Another interesting finding was that, despite emphasis in the management literature on the importance of a collaborative approach to appraisal, few employees are actively involved in their own appraisal. Employees were found to have direct inputs to their own appraisals in only 5.4% of the programs in the Locher and Teel survey. In the others then the employee must accept, willingly or otherwise, appraisals made by their supervisors. (See also Zawacki and Taylor, 1976.)

It was found that appraisals were conducted annually in 52% of the responding organizations, semi-annually in 24%, and at variable intervals depending upon organizational level and salary in the remaining 24%. An annual appraisal apparently is still the most common.

One other basic issue that usually comes up in a discussion of performance appraisals is:

4. Are Appraisers Well Prepared?

Probably the most significant finding of the (1977) Locher and Teel survey was that very few organizations provide adequate formal training for appraisers. Without such training, it would seem even the most carefully conceived program is likely to be ineffective. Quoting from the survey:

> We did not attempt, in this survey, to measure the motivation of appraisers. Instead, we assumed that they probably would be well motivated if they understood the systems, were properly trained in their objectives and uses, and were monitored by management to see that they were using the appraisal systems properly. We therefore asked questions about written instructions for appraisers, formal training, and management monitoring of appraisal programs.
>
> Written instructions on how to use the appraisal system are provided in 76.6% of the organizations; none is provided in the remaining 23.4%. Where instructions are provided, 46% are on the appraisal forms only; 35% are separate; and 19% are both on the forms and separate. Our review of these instructions reveals that most are clear and complete. Thus, most organizations provide adequate information on how their appraisal systems should be used.
>
> The same, however, cannot be said for training. For many years, research results have documented the widespread existence of appraiser bias and the fact that such bias can be significantly reduced through training. Recent research has underscored the need for such training by pointing out that appraisers often are biased by employee race and sex, as well as by personality characteristics unrelated to job performance. We were quite surprised, therefore, to discover that over half of the organizations with formal programs provide no appraiser training whatsoever. Even most of those who do provide training limit it to short (one or two hour) refresher sessions scheduled at variable intervals. Thus, most appraisers must "sink or swim" on the basis of what they can learn from written instructions and/or informal comments from their colleagues." (See also Bigoness, 1976.)

It would certainly appear, as N.B. Winstanley (1972) put it, that appraiser training "...is probably the most neglected in modern management education."

5. Are Appraisal Systems Reall Necessary?

The literature has noted that many appraisal systems are not relevant to organizational objectives, are too subject to personal bias and often are influenced more heavily by personality than by performance. Nevertheless, most have agreed that well designed and properly used appraisal systems are a necessary evil; i.e., they are essential to the effective functioning of most organizations [Reider, 1973; Slusher, 1975]. Furthermore, implementation of the Uniform Guidelines on Employee Selection Procedures of 1978 (UGESP), recent Equal Employment Opportunity Commission (EEOC) actions, and Board for Correction of Military Records (BCMR) and other court decisions have underscored the necessity for organizations to have accurate objective records of employee performance to defend themselves against possible charges of discrimination in discharges, promotions and/or salary increases [Laser, 1976; Schneier, 1978; Stanton, 1976].

The U.S. Coast Guard recently recognized the realities of the aforementioned paragraph as is reflected in one of their Requests for Proposals (RFP) herein quoted:

> ...The legal requirements of the Equal Employment Opportunity Act of 1972 and the most recent issue of the Uniform Guidelines on Employee Selection Procedures (1978) indicate that methods of selection; assignment and promotion and other similar personnel actions must be validated. According to

> the law, validation should be an empirical study which demonstrates not only content validity but also correlational validity between personnel procedures and instruments. Also since performance marks are used in promotion, these marks will need to be validated against the future fitness report performance marks that they attempt to predict.

It would seem to be a safe statement that, many organizations public and private, the alternatives to not having some sort of fair and equitable performance appraisal system are unacceptable. If we can agree that, indeed some system is required then:

6. Which Approach Is Better?

In general, until very recently, there has been an absence of data supporting the specific conclusions of the traditional or collaborative writers. Many authors have pointed out the shortcomings of existing appraisal systems [Colby and Wallace, 1975; Lasher, 1974; Morano, 1974]. Lively debates over the shortcomings have raised numerous questions about what is actually used by industry. Further, there has been little information,until recently,regarding top management reaction to specific performance appraisal systems. One study implied that companies and management are generally unsatisfied with their formal appraisal systems [Miner, 1968]; however, a later and more extensive survey indicates that management is generally satisfied with their performance appraisal systems [Zawacki and Taylor, 1976], believing that they have contributed toward positive employee attitude and performance.

7. What Kind of Appraisal System is Best?

Obviously the best appraisal system would be the one that most closely satisfies an organization's needs. A small individual entrepreneur can undoubtedly get by with a completely informal system. As organizations grow, however, they need more formal systems to insure comparability of data from their many different departments and operations. A survey (of 216 respondents of 696 organizations queried) conducted recently [Locher and Teel, 1977] (see also Field and Holly, 1975) concluded that there were many generally identifiable types of appraisal systems in use for different groups of employees.

Approximately three-fourths of the respondents actually provided copies of their appraisal forms. The typical appraisal technique consists of a rating scale, with space for narrative comments to justify ratings and to elaborate on employee strengths, weaknesses, and developmental plans. As a combination of the first two "types", this composite form was in use in over 81% of the organizations in the survey. It is significant to note that, despite extensive literature to the contrary, only 12.7% of the organizations indicated use of MBO as an appraisal technique.

The research of Michael Gallagher (1978) and others has concluded that the stated or inferred purpose or occasion for utilizing an appraisal form may be "an important additional nonperformance variable (along with halo-effect,

central tendency, different evaluation standards, recent-behavior bias, etc.) that can significantly affect the appraisal of on-the-job performance."

Other literature suggests also that the best anyone can hope to do is to match an appropriate appraisal method to a particular performance appraisal goal [Oberg, 1972]. Haynes (1978) asks the question, "What information is the program expected to provide, and how will the information be used?" These are the critical considerations in determining an appraisal program's objectives, and they will be considered in the next section.

C. HOW WILL DATA BE GATHERED AND USED? WHAT WILL THE SCOREBOARD BE?

Marion Haynes' excellent 1978 article in the Personnel Journal entitled "Developing an Appraisal Program" was, by far and away, the best article discovered in the literature with respect to a total blueprint with which one could (1) judge a current appraisal program, or (2) design a new one. Additional insight was provided, with respect to the military "sea services" by Soper (1977) and Snyder (1978). An attempt will be made to consolidate the knowledge gained, from these and other authors, into a discussion of important program design considerations.

According to Haynes:

> ...decisions on a number of points need to be made before design work on an appraisal program begins. These decisions should answer the following questions:

1. Is the program to be based on a rating approach, planning approach, or some combination of the two?
2. What are the objectives of the program?
3. What factors will be appraised?
4. What will be the appraisal base?
5. Which appraisal technique or techniques will be utilized?
6. Who will be the appraisers?
7. How frequently will appraisals be prepared, and how long will they be retained?

Part I of her article reviewed alternatives and considerations to be taken into account when answering each of these questions. When decisions on these points have been made, the next steps are to design forms and prepare procedures which utilize the basic principles and methods decided upon.

In developing an appraisal program, Haynes reminds us, "...it is necessary to remember that employee appraisal is not an end in itself." Rather it provides input information for other processes.

Before turning to the specifics of designing forms and establishing procedures, it is imperative that we do not overlook the aspect of managerial or organizational control that would be a possible third basis to be included in Haynes' first question.

There is a portion of the literature that subscribes to the idea that the most important feature of performance appraisal is inherent in its potential as an organizational control system, i.e., by explicitly providing a scoreboard of "what the boss inspects/expects", that an organization can effectively control the behavior of its personnel. This is what Professor W.J. Haga of the Naval Postgraduate School

in Monterey has characterized as "...taking advantage of the 'Turnstile Adaptation' potential that's present in all of us." (See W.J. Haga, Haga's Law, New York: Wm. Morrow & Co., Inc., in print.)

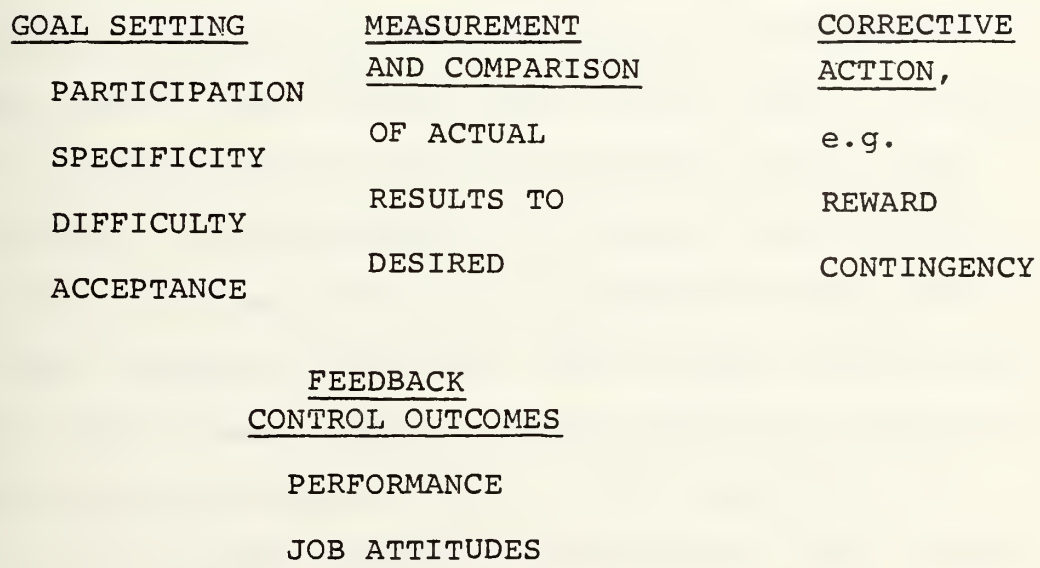
1. The Case for Organizational Control

Organizational theorists have long recognized that, for an organization to function and be effective, the resources and efforts of the participants must somehow be directed toward a collective goal [Cyert and March, 1963; Etzioni, 1961; Giglioni and Bedian, 1974; Katz and Kahn, 1966; March and Simon, 1958]. One method of ensuring the pursuit of collective goals is through the use of organizational control mechanisms such as aspects of organizational structure [Anderson and Warkov, 1961; Ouchi, 1977; Pugh et al., 1969; Weber, 1947], the use of planning and budgeting techniques [Anthony, 1964; Arrow, 1964; March and Simon, 1954], careful selection and socialization of employees [Hage, 1975], and the direct monitoring of behavior through supervision [Ouchi and Maguire, 1974; Ouchi, 1978]. Each of the above control systems requires, at a minimum, the specification of goals, translation of goals into standards of performance, the measurement of performance and comparison with standards, and finally, corrective action and equilibration, either through feedback, or rewards and punishments, or both [Ouchi, 1977]. Thus, an effective control system meeting these criteria should produce desired levels of individual and organizational performance.

With respect to the explicit use of performance appraisal systems for organizational control, Cummings and Schwab (1973) have found that, "...one method of organizational control which permits the efforts of individuals to be coordinated and rewarded in pursuit of organizational goals, and is common to almost, if not all organizations, is the use of a performance appraisal system." The best amplification of this idea came out of the research of John C. Anderson and Charles A. O'Reilly, in their paper (presented to the 1979 convention of the American Management Association) entitled "Effects of An Organizational Control System on Managerial Attitudes and Performance." They maintain that:

> ...properly applied, a performance appraisal system performs each of the steps of organizational control shown in Figure 1. Goals are translated into standards, and after measurement of performance, corrective actions can be taken through feedback and incentives, resulting in increased performance levels.

Figure 1



These steps, in fact, are precisely those advocated in the MBO programs often used for performance appraisal [Latham and Yukl, 1975; Raia, 1974].

A substantial body of literature exists on the various individual dimensions that Anderson and O'Reilly put together in the control model on performance (Figure 1). Their control system, like any other control system, requires the efficient functioning of all of its components in order to be at maximum effectiveness; a failure of any of the subcomponents can jeopardize the success of the entire control process. Each of the aspects of their model will be utilized to organize a discussion of the literature on performance appraisal used for organizational control.

By far the most examined aspect of the control system is the goal setting process [Latham and Yukl, 1975; Steers and Porter, 1974). Testing Locke's (1968) theoretical notions that individual goals and intentions direct behavior, research has indicated that individual performance is increased: (1) when specific goals rather than 'do your best' or general goals are identified as targets [Ivancevich, 1976, 1977; Kim and Hamner, 1976; Terborg, 1976; White, Mitchell and Bell, 1977]; (2) when difficult as opposed to easy goals are agreed upon [Campbell and Ilgen, 1976; Latham, Mitchell and Dossett, 1978; Steers, 1976]; (3) when goals are accepted by the subordinate [Ivancevich, 1976, 1977; Ivancevich and McMahon, 1977; Latham, Mitchell, and Dossett, 1978; Steers, 1976]; and (4) when participation of members in the goal

setting process is encouraged to increase goal acceptance [Ivancevich, 1976, 1977; Latham, Mitchell and Dossett, 1978; Steers, 1976] although not necessarily performance [Ivancevich, 1977; Latham and Yukl, 1976]. Thus, most of the dimensions of the goal setting process have been found to have the hypothesized relationship to performance.

Comparatively, there is a paucity of research on the impact of the measurement and comparison process on performance. Dornbusch and Scott (1975) systematically examined four dysfunctional ways in which measurement and evaluation can impair the functioning of a control system. When an organizational participant is evaluated on contradictory standards (i.e., factors over which the member has no control), against unattainable standards, or on an unpredictable basis, incompatibilities exist which may lead participants to reject the control system and attempts to maintain or improve performance levels.

Once performance has been measured and compared with the established goals, the next step in the control system is to apply corrective action through either feedback or rewards. A recent review of the literature on performance feedback reveals that the motivational or directive impacts of feedback or knowledge of results can significantly increase performance [Ilgen, Fisher and Taylor, 1977]. Specifically, when feedback or knowledge of results is: available in sufficient quantity and from a credible source, provided in a timely fashion, understandable, relevant to the task, and

indicative of specific suggestions for improvement, then performance may be increased [Becker, 1978, Erez, 1977; Kim and Hamner, 1976; Seligman and Darley, 1977].

The use of rewards or sanctions to improve performance in organizational settings has also received substantial attention in the research literature [Lawler, 1970; Luthans and Kreitner, 1975; Opsahl and Dunnette, 1966]. Generally, the results reveal that rewards which are contingent on performance have the greatest positive impact on increasing subsequent performance [Latham, Mitchell and Dossett, 1978; Lawler, 1976; London and Oldham, 1976; Terborg, 1976; Terborg and Miller, 1978]. Thus, the use of these mechanisms are also a vital part of the functioning of an organizational control system.

Although the preceding review has focused on the performance effects of an organizational control system, as Steers (1976) points out, a correctly functioning system may also have positive influences on the attitudes of organizational participants. Research indicates that task goal attributes, especially participation in goal setting may be related to job attitudes [Ivancevich, 1976; Raia, 1964, 1966; Steers, 1976; Tose and Carroll, 1968], although the research is neither plentiful nor conclusive [Umstot, Bell, and Mitchell, 1976]. Moreover, the characteristics of the measurement process are significantly related to job satisfaction [Dyer, Schwab, and Thireault, 1976] as are feedback [Steers, 1976] and rewards [Lawler, 1970]. Thus, an

organizational control system designed to improve performance may also have a secondary objective of improving satisfaction, commitment, and the involvement of organizational participants.

2. The Trade-offs

It should be quite apparent, after all the foregoing discussion, that any real measures of effectiveness for performance appraisal in an organization should be oriented toward the role that it has been designed for, i.e., the evaluative role defended by the "traditional approach" writers, the developmental role defended by the collaborative writers, or the organizational control role posited by the last group of writers mentioned. There is obviously some overlap among the three roles, which would lead to myriad combinations of trade-off possibilities if one were to try to accomplish both of the first two or all three roles with a single system. In his new book (1978), Edgar Schein discusses this dilemma and many of the trade-offs involved when one goal for a system is to build a "human resource inventory" and another is to try to stimulate performance improvement. He states that: "...in order to plan effectively, one must have valid and useful information on the present state of the human resources," however, "...the other basic purpose of our performance appraisal - to stimulate open communication between a boss and a subordinate for purposes of improving performance - is undermined to varying degrees by global ratings designed to go into centralized

files and inventories. One solution is to separate the two processes in time or to use different procedures and forms for each."

3. Designing Forms and Establishing Procedures

Forms used for performance appraisal are really the tools which focus an appraiser's attention on relevant factors to be considered and which provide a record of his/her judgements. As such they should be both easily understood and compatible with the appraisal systems objectives. Haynes (1978) again provides some excellent guidance in this area when she writes:

> People tend to think in ways that reflect their different backgrounds and training. Personnel professionals, for instance, frequently speak in a different language than the line supervisors who will serve as appraisers. The language on appraisal forms must be precise, since appraisers tend to read each word very critically. The following thoughts will facilitate the design of forms which are clearly understandable and relevant:
>
> Express only one idea with each factor. If two thoughts are expressed, a person who is rated high on one and low on the other is difficult to appraise. For example, punctuality and attendance often appear together. Does a low rating indicate the person is often late to work or often absent?
>
> Use words the appraiser will understand. Be particularly careful to design the form for the supervisory group who will be working with it.
>
> Have appraisers evalute what they observe, not what is inferred. This is particularly appropriate in evaluating such things as knowledge. Without extensive testing, it cannot really be said how much knowledge a person has on a given subject. However, one can observe the extent to which an understanding of the job is demonstrated.
>
> Avoid double negatives. A positive, declarative approach is easier to understand and respond to.

Express thoughts clearly and simply. Qualifying clauses, ponderous words, and complex expressions serve only to confuse the appraiser. Avoid long, wordy introductions and definitions.

Keep statements internally consistent. Occasionally, direct contradictions may creep into the appraisal form.

Avoid universal statements. Words such as "all," "always," and "never" lead to ambiguity. When "never" appears, most people interpret it as meaning "hardly ever"; yet no two people have exactly the same understanding of "hardly ever."

Concentrate on the present. Any attempt to go into the past for a rating will lead to distortion. Dramatic events in the past stand out in an appraiser's memory, while good daily work tends to be expected and therefore overlooked.

Avoid vague concepts. This is particularly apparent in attempts to appraise personality factors. The terms "honesty" and "integrity" frequently appear on forms; yet no one has a clear understanding of the two concepts.

Procedures are necessary to provide appraisers with a set of uniform definitions and instructions. Sufficient background material on the development of the appraisal program should be incorporated to place it in context. Objectives should be presented and discussed so that everyone involved in the program clearly understands the purpose it is intended to serve. Procedures must also offer basic information on the correct ways to prepare appraisal forms and how to use them in making administrative decisions.

Now that the major aspects of the design of a system have been considered, we can move on to the challenge of trying to implement it. About the only aspect of this challenge that we can really consider, within the scope of this survey would be a look into the:

D. THE MILITARY ENVIRONMENT FOR APPRAISAL

There exist many interesting similarities and differences between the public and private sectors of the economy with respect to performance appraisal. Both would maintain that

they have fair, equitable, and highly competitive selection procedures at the job entry, i.e., the-bottom-of-the-career-ladder level. Unlike the military however, the private sector can bring in new employees at virtually any level in the managerial bureaucracy. (In this sense the military has a "closed loop" due to its inability to bring in "new blood" above the Ensign/2nd Lieutenant level.) Because the private sector organization must grow to survive, there are usually adequate opportunities for the "best and the brightest" to move up at an acceptable pace through the appropriate career ladder, or to "jump" to another organization. In the military, on the other hand, there is often a slow or no-growth situation, coupled with the additional legal requirement for "up-or-out" "best-qualified" promotion boards, which forces attrition of (sometimes) highly qualified officers. It seems clear that many of the systems touted in the literature may not always be appropriate for use in the military environment.

We explored earlier the caveat that the stated purposes, for which a performance appraisal system is to be used, can be a distracting, and potentially negative, non-performance factor influencing the actual performance rating received. As a logical extension of this proposition, it would seem that the evaluation process becomes quite subject to non-performance distortion and/or rater confusion when appraisals are "used" for several purposes, not all of which may be compatible. At this point it would be useful to point out

to the reader that the Coast Guard (and, generally, the DOD) uses their personnel appraisal system for the purposes of: (1) facilitating differentiation between individuals' performance potential, in support of decisions required of promotion boards; (2) same as 1, but for support of decisions required of assignment officers; (3) same as 1, but to support the decisions required of the Training and Education Division at Coast Guard Headquarters who must manage the Postgraduate/ Specialty training needs of the Officer corps. The foregoing three purposes encompass the scope of the Coast Guard's organizational needs, which, if considered independently of the needs of the individual officer in the system, could probably be most efficiently and effectively served by a good Management Information System (MIS) or Decision Support System (DSS).

When it comes to addressing the specific need of the individual in the military officer corps, we found quite a bit of variance between the services. The Coast Guard, at one end of the current spectrum, does not necessarily discourage professional development through performance counseling/ coaching; however, by only making optional the showing to the subordinate, and the use of the fitness report as a basis for counseling their subordinates, and by not explicitly providing some concurrent means to do so, this "opportunity" is quite often foregone in the Coast Guard. The Army, at the other end of the current spectrum, has explicitly designed

into its new Officer Evaluation Reporting System the following functions (extracted from Dept. of Army pamphlet 623-105):

obtain information for:
DA selection and assignment decisions
rating chain use in making their evaluations

encourage professional development through:
performance counseling/coaching
career counseling/coaching
emphasis on professional values

enhance mission accomplishment by:
increased advanced planning
relating performance to mission
focusing on individual talent

In support of the foregoing, and by its own description

> ...(the new system seeks to) emphasize senior/subordinate relationships, highlight performance criteria, and establish the basis for the direction of performance...and (through effective communication) make the rated officer aware of the specific nature of his duties and provide him with an opportunity to participate in the organizational planning process. The senior/subordinate communication process also facilitates the dissemination of career development information, advice, and guidance to the rated officer... [Dept. of Army Pamphlet 623-105]

Two concurrently operating subsystems have been designed to accomplish the foregoing functions, i.e., (1) the Officer Evaluation Report (OER) or formal report (form of record) which contains all of the recorded evaluations and comments; and, (2) the OER support form, which is non-record support material and which is eventually returned to the rated officer. The evaluation process starts at the beginning of a rating period when the rated officer receives and fills out the OER support form. Initially, and through the period, the primary input is that of the rated officer, culminating

with the rated officer's final description of his duties, major objectives, and significant performance contributions.

Because the Army performance appraisal system is actually composed of the two functionally-separate, distinct, but concurrently-operating sub-systems, it would seem to have a better probability of success, at least according to the literature. However, efficiently and effectively overcoming the inertia of tradition and institutionalized resistance to change (e.g., rated officer participation) will still present the Army staffers with a stiff challenge. If they are successful, their sister services will be watching with more than a passing interest. The Coast Guard, for example, is presently reviewing much of the Army research, as well as requesting proposals for systems to modify, supplement, or replace their aging, but still potentially viable appraisal system.

E. IMPLICATIONS FROM THE LITERATURE

Perhaps the best place to look for tough standards against which to judge our present and/or future appraisal systems would be in our judicial system (where it is at least reasonable to expect the improperly designed appraisal techniques will get a stern test). Recently, at the 1979 American Management Association Convention, Duane E. Thompson, Charles R. Klasson and Gary L. Lubben presented a paper entitled, "Performance Appraisal and the Law: Policy and Research Implications of Court Cases." They found, among

other things, despite the rather tenuous nature of the present situation, that selection, promotion, training, retention, and compensation decisions continue to be based on employee evaluations. They state that, "The personnel professional, continuously faced with the possibility of charges of illegal discrimination, must find ways of insuring that personnel decisions are made in such a way which will withstand the scrutiny of enforcement agencies and perhaps the courts."

Using the court cases as guides, it is possible to identify elements of performance appraisal systems which, if met, would go a long way toward creating an:

> ...acceptable system falling in mid-range between blind adherence to a set of quotas and frenetic validation studies. All (of the below mentioned elements) are based on sound personnel practice. Each has been emphasized in at least one court case. (See the following cases: Albermarle Paper Co. v. Moody, 95 S. CT. 2362 (1975); Baxter v. Savannah Sugar Refining Corp., 495 F. 2d 437 (1974); Row v. General Motors Corp., 457 F. 2d 348 (1972); James v. Stockham Valves and Fittings Co., 559 F. 2d 310 (1977); Baxter v. Savannah Sugar Refining Corp., 495 F. 2d (1974); Griggs v. Duke Power Co., 91 S. Ct. 849 (1971); Hill v. Western Electric Co., 12 F.EP., 1175; Robinson v. Union Carbide Corp., 538 F. 2d 652 (1976); and Watkins v. Scott Paper Co., 530 F. 2d 1159 (1976).)
>
> 1. The overall appraisal process should be formalized, standardized, and as much as possible, objective in nature.
> 2. The performance appraisal system should be as job related as possible.
> 3. A thorough, formal job analysis for all employment positions being rated should be completed.
> 4. Subjective supervisory ratings should be considered as only one component of the overall evaluation process.
> 5. Evaluators should be adequately trained in the use of appraisal technqiues.

6. Evaluators should have substantial daily contact with the employee being evaluated.
7. If the appraisal involves various measures of performance, the proportion which each measure carries with respect to the overall assessment should be fixed.
8. Whenever possible, the appraisal should be conducted independently by more than one evaluator.
9. The administration and scoring of the performance appraisal should be standardized and controlled.
10. Opportunities for promotion or transfer should be posted and the information made available to all interested individuals.
11. An employee initiated promotion/transfer procedure should be established which does not require the immediate supervisor's recommendation.

In their excellent paper, Thompson, Klasson, and Lubben go on to emphasize that "these recommendations summarize what appear to be the courts' interpretation of what constitutes an acceptable performance appraisal system...however, strict adherence to these recommendations provides no guarantee that...the current interpretations of the courts will remain the same in the future." They do maintain that "...irrespective of the dynamic nature of the courts' interpretations, however, adherence to these recommendations represents the employer's best opportunity for complying with the current EEOC guidelines on employee selection procedures."

F. IMPLICATIONS FOR FUTURE PERFORMANCE APPRAISAL RESEARCH

During the foregoing survey of the literature, we explored most of the aspects of performance appraisal that would allow us to analyze and, hopefully, to plan for new systems. It should be pointed out, however, as Thompson, Klasson, and

Lubben have put it, "...clearly, (the) legal, technical, and organizational requirements placed on performance appraisal policies and practices have profound implications for future research. Unless significant efforts are undertaken by the profession to refine and re-direct both theoretical research, serious problems will persist with our professional attempts to justify the continued use of existing, out-dated performance appraisals." We have chosen to reproduce the last few pages of the Thompson, Klasson, and Lubben paper here, as it may not be available in print for some time:

> ...Four research avenues merit our immediate attention since they offer significant promise for improving existing theory and practice.
>
> Job Tasks and Requirements. Methods and techniques of job analysis must be improved if we are to successfully respond to the need for job related appraisals. The importance of this area is highlighted by a recent Conference Board study of managerial performance appraisal [Laser and Wikstrom, 1977]. Over fifty percent of the firms surveyed indicated that thier performance appraisal systems were not based upon formal job analyses. Yet legal and professional standards require the specification of job content as a prerequisite to the development of assessment instruments. According to the A.P.A. Principles (1975), job analysis should be reflective of the job domain and be defined on the basis of competent information about job tasks and responsibilities. Also since empirical validation of assessment instruments is not often feasible due to the large sample sizes and expenses associated with such endeavors, more employers are turning to content validity as a viable alternative [Lawshe, 1975]. Additionally, the literature seems to be supporting the importance of content validity research [Tenopyr, 1977].
>
> Reducing Subjectivity. Since performance is a multifaceted phenomenon, it is necessary to develop appropriate job dimensions. Equally important is the need to develop methods of observing a representative sample of actual performance against these dimensions as a basis for reducing subjectivity.

Behavioral anchored rating scales (BARS) and other "anchoring" techniques hold particular promise in this regard. While failing to show a clear superiority over other types of rating scales in terms of certain psychometric properties, they do have inherent advantages [Schwab and Heneman, III, 1975; Borman and Dunnette, 1975]. Most important would be (1) the identification of critical performance dimensions and (2) the improved definition of these dimensions by the behavioral anchors [Atkins and Conlon, 1977]. This is consistent with the work at Corning Glass where researchers have emphasized both the psychometric accuracy and practical utility of ipsative measurement methods [Beer, et al., 1978]. Yet another approach involves emerging work that focuses upon the 'process of managerial effectiveness.' Campbell, Dunnette, Lawler and Weick (1970) proposed a person-process-product model of managerial effectiveness. The point out that most appraisal systems focus on the person (individual traits and abilities) or the product (organizational results like profits, productivity, and costs). The process orientation, which looks at the manager's on-the-job behavior and activity has not received the same attention as the person-product ones since it was unclear as to what constituted effective managerial behavior. Today more research should focus upon defining specific behavior(s) that can be rated and observed as a basis for gauging the effectiveness of on-the-job performance. Morse and Wagner (1978) reported upon the development of an instrument designed to evaluate the performance of those activities that account for both the similarities and differences among managerial jobs. These efforts, like the work of Mintzberg (1973), seem to be suggesting that managerial jobs are similar and that the work of all managers can be described in terms of a set of common roles and behaviors. While there is some evidence to the contrary [Campbell, et al., 1970], the process orientation appears to offer a useful research enterprise.

Methods of Controlling Bias. Poor reliability of ratings can be traced in part to various kinds of rater error. If we are to control bias, much more research is needed regarding the merits of multiple ratings, peer assessments, and so-called combination ratings with different raters using the same criteria and different criteria. Borman (1974) examined the use of a hybrid multitrait-multirater analysis in which raters make evaluations on only those dimensions which their level's members were in a good position to rate. This approach was believed to be a reasonable method to judge the goodness of

ratings in an organization. The entire approach focused upon accepting only good information from the rater and rejecting poor information. Peer assessments appear to be emerging as a practical assessment method [Kane and Lawler, III, 1978; Klimoski and London, 1974]. Apparently, we have now recognized the need for assessment information from another source which can contribute information that is psychometrically superior to or different from that which traditional sources can contribute. The potential for peer assessment in work organization is improving. While widespread application is not now imminent, the prospects appear good for future development.

New Appraisal Systems. The greatest promise for improving the quality of assessment programs appears to rest in the development of new conceptual appraisal systems that escape the trappings of earlier, more traditional ones. With growing emphasis upon the developmental aspects of appraisals [Bowen and Hall, 1977; Beer et al., 1978] and the concept of career development plans [Dalton, Thompson and Price, 1977], it is apparent multiple assessment methodologies must emerge to suit the particular assessment need. Professionals now constitute thirty-two percent of the work force. This segment continues to grow. Several efforts have been initiated to develop specialized appraisal systems. Cummings and Schwab (1978) identified three types of appraisals--remedial, maintenance and developmental. They argued for developing the "best informational yield" by differentiating several separate kinds of appraisals. Keeley (1978) proposes a "contingency framework for performance evaluation." His model describes the situational appropriateness of behavior-based, objective-based, and judgment-based evaluations which take into account characteristics of tasks and workers. And finally, more research must examine the rater. Questions of (1) rater motivation, (2) rater ability to assess, and (3) availability of appropriate judgmental norms require increased examination. This need gives recognition to the fact that no single approach to obtaining more accurate appraisal is the answer. Complementary solutions will be required. Yet the literature is disjointed. The industrial psychology tradition flies in the face of the organizational development tradition. Systematic efforts like the work of DeCotius and Petit (1978) are badly needed to give fruitful direction to our research efforts.

It could go without saying that there is much more to the topic of performance appraisals than might meet the eye at first glance. What has been attempted is to present to the reader: a historical perspective; an in-depth insight into the various approaches to performance appraisal in use today, i.e., the traditional and collaborative approaches; through answers to the questions: who does the appraising?, how often?, are appraisers well prepared?, which approach is better?, and finally, what kind of appraisal system is best?; a discussion of the relevant considerations during system design, which included the case for organizational control systems; a discussion regarding the military environment for appraisal, and finally, concluding with a discussion of the present and future implications for research into this broad subject of performance appraisal.

Before proceeding to a description of the system designed for officer performance appraisal in the Coast Guard, it must be pointed out that many of the foregoing research directions represent a step in the direction of improving existing performance appraisal systems that, at best, do not now produce: (1) objective measurements, (2) adequate employee participation and/or development, or (3) organizationally useful information. It seems quite unlikely that a universally "perfect system" will ever be developed, i.e., one that can simultaneously satisfy the criteria of reliability, validity, fairness and equity, and developmental

capability. If however, the organization selects a reasonable mix of uses and expectations, based upon a realistic and acceptable set of user needs, the success of any resultant system is made more probable.

In addition to the other factors considered, and possibly one of the most important to this thesis effort, concerns the potential costs inherent in a strategy to convert to a new performance appraisal system. As important, if not more important, than the potential benefits involved after the (successful) implementation of some new "state-of-the-art" performance appraisal system, is the consideration for the actual credibility, familiarity, and lack of uncertainty that were associated with the system that would be replaced, and the potential benefit that might have been gained in an attempt to have increased the potential effectiveness of the "current" system. In this regard, perhaps the Coast Guard, and other organizations contemplating a possible system change, should seriously consider the research findings of A.L. Patz (1975) who very succinctly states, "...My work has led me to conclude that implementation problems in performance evaluation are better solved by 'fine tuning' currently-used methods than by replacing them with entirely different approaches to performance appraisal..."

Based on all of the foregoing knowledge, opinions, research, conclusions, and implications, the next chapters will make the setting more Coast-Guard-specific.

III. THE COAST GUARD'S PROMOTION AND FITNESS REPORT SYSTEMS IN PERSPECTIVE

The current fitness report and promotion system in the Coast Guard has been in existence for approximately 15 years. It has undergone minor revisions and changes, but it is basically the same as it was when the promotion system changed from a fully-qualified system to a best-qualified system in 1964.

A. HISTORICAL EVOLUTION OF THE COAST GUARD'S PROMOTION AND FITNESS REPORT SYSTEMS

Performance appraisal in the Coast Guard was not formalized as a system of records until approximately 1915 when the U.S. Lifesaving Service and the U.S. Revenue Marine (originally the Revenue Cutter Service) were amalgamated into what is now called the U.S. Coast Guard. There is some evidence to suggest that, during the period from its founding in 1790 to WWI, early Coast Guard officers were usually promoted on the basis of seniority. Consequently, there was no need for a formalized performance appraisal system.

The first real interest in the rating of personnel came from the experience and reports of the United States military during and after WWI. It was the practice at that time, and through WWII, to promote on the basis of a fully-qualified criteria. That is, the promotion boards considered the information in the officer's fitness report file and his personnel

file. It was their duty to certify whether or not each officer under consideration was fully qualified to assume the duties and responsibilities of the next pay grade. There was no competition among officers in the same pay grade, and it was theoretically possible for either none or all (of the officers being considered) to be selected for promotion.

During WWII and at least through the 50's, the Coast Guard utilized the U.S. Navy's fitness report forms. This was done as an administrative convenience to the Navy, for the most part, because the Congress did not formally recognize the Coast Guard (as a separate uniformed military service) until 1949, despite the fact that the Coast Guard had been an integral part of the Navy during all wars, both declared and undeclared.

The entire Coast Guard promotion system for officer personnel on active duty was revamped by the passage of the Kerrins-Stephans Board legislation of 1964. The Kerrins legislation directed that a new promotion system be developed based on a best-qualified basis. That is, each year a certain number of officers are determined to be eligible for promotion and they constitute a promotion zone. Only a fixed percentage of that zone can be promoted, however, thus making the system competitive. This also necessitated a pyramidal billet structure for the officer corps and the authorized number for each rank is determined by law. Forced attrition would leave on active duty only those officers considered to be best qualified for promotion among their contemporaries.

The Kerrins legislation also required that a lineal list be established for seniority. It is called the Active Duty

Promotion List (ADPL). This list includes all officers, both regular and Reserve commissioned, serving on active duty. The only exceptions were "... Reserve officers ... serving in connection with the organizing, administering, recruiting, instructing, or training of the Reserve components ... and members of the Permanent Commissioned Teaching staff of the Coast Guard Academy." (USCG PERSONNEL MANUAL, 1979)

The Coast Guard Officer Fitness Reporting System, designed in response to the Kerrins legislation, has survived essentially intact, for the last fifteen years while many similar systems have come and gone in the DOD services.

B. DESCRIPTION OF THE CURRENT COAST GUARD FITNESS REPORT SYSTEM

Several fitness report forms comprise the current system and they are typified by exhibit 1. The complete set of current forms is contained in Appendix A. Each form is designed to reflect the important attributes and performance factors for each rank or set of ranks. These forms are submitted every six months on the average with exceptions made for transfers, promotions, etc. A collection of these reports over time comprise an officer's performance record. This file is combined with everything else in the individual's Official Service Record, except the Health record, and made available to the promotion board.

The forms themselves are supported by instructions and guidance provided in the Coast Guard Personnel Manual (CG-207) and supplemental Commandant Instructions and Notices. The

EXHIBIT (1)

DEPARTMENT OF TRANSPORTATION U. S. COAST GUARD CG-4328C (Rev. 10-78)	REPORT ON THE FITNESS OF CAPTAINS AND COMMANDERS	REPORTS CONTROL SYMBOL G-PO-5072

THE OFFICER REPORTED ON WILL COMPLETE THE FIRST TWELVE SECTIONS

1. NAME (Last, First, Middle)	2. GRADE	3. YEARS IN GRADE	4. STATUS INDICATOR	5. SERVICE NO.

6. UNIT NAME AND OFFAC NO.	7. DATE REPORTED PRESENT UNIT	8. SOCIAL SECURITY NO.

9. TYPE OF REPORT	10. OCCASION FOR REGULAR REPORT	11. PERIOD OF REPORT
REGULAR [ ] SPECIAL [ ] CONCURRENT [ ]	SEMI-ANNUAL [ ] DETACHMENT OF REPTG. OFFICER [ ] DETACHMENT OF OFFICER [ ] PROMOTION OF OFFICER [ ]	FROM TO

12. ASSIGNMENT (Provide a brief resume of your assignment during this reporting period. Personal or official reports of possible use to the reporting officer in evaluating your performance may be attached but should not be referenced. Include all periods in a PCS travel status. *See Personnel Manual 10-A-10.*)

Days on TAD _____ All other days not present for duty _____

SIGNATURE OF OFFICER REPORTED ON

FOLLOWING TO BE FILLED IN BY REPORTING OFFICER

13. PERFORMANCE INFORMATION CONSIDERED IN COMPLETING THIS REPORT

a. INFORMATION: Indicate for each method of appraisal used the quality of performance information considered in completing this report by marking an X in the appropriate marking box of each row.

	QUALITY OF INFORMATION (Consider the frequency, relevancy, accuracy and scope of information.)			
	VERY GOOD	GOOD	LIMITED	NO SIGNIFICANT INFORMATION
(1) Direct personal observation of the officer reported on and his accomplishments.				
(2) Indirect knowledge of officer reported on through written or oral reports.				

b. DOCUMENTATION: Append reports of outstanding or unsatisfactory performance and reference them in this space. Avoid extraneous material. *(See Personnel Manual 10-A-4.)*

14. PERFORMANCE OF DUTIES *(In comparison with other officers with similar length of service in grade, consider the requirements of his position and evaluate his performance.)*

PERFORMANCE FACTORS	NOT OBSERVED	OUTSTANDING PERFORMANCE. DEMONSTRATES UNUSUAL ABILITY TO FILL POSITIONS OF HIGHEST RESPONSIBILITY AND AUTHORITY. MOST HIGHLY QUALIFIED.		EXCELLENT PERFORMANCE IN MOST ASPECTS OF HIS POSITION. FREQUENTLY DEMONSTRATES OUTSTANDING PERFORMANCE. WELL QUALIFIED TO FILL POSITIONS OF HIGHEST RESPONSIBILITY AND AUTHORITY.		VERY GOOD PERFORMANCE IN MOST ASPECTS OF HIS POSITION. FREQUENTLY DEMONSTRATES EXCELLENT PERFORMANCE. HIGHLY QUALIFIED FOR HIS PRESENT POSITION.		GOOD PERFORMANCE IN MOST ASPECTS OF HIS POSITION. FREQUENTLY DEMONSTRATES VERY GOOD PERFORMANCE		UNSATISFACTORY PERFORMANCE
a. Primary Duty		9	8	7	6	5	4	3	2	1
b. Management and Planning		9	8	7	6	5	4	3	2	1
c. Speaking Ability		9	8	7	6	5	4	3	2	1
d. Accomplishments		9	8	7	6	5	4	3	2	1
e. Government Inter-Service/ Public Relations		9	8	7	6	5	4	3	2	1
f. Overall Performance Composite of a. thru e.		9	8	7	6	5	4	3	2	1
g. Desired distribution of marks in f.		25%	40%	20%			15%			

15. ATTITUDE *(Indicate your attitude toward having this officer under your command.)*

PARTICULARLY DESIRE TO HAVE HIM [9] PREFER HIM TO MOST [7] BE PLEASED TO HAVE HIM [5] BE SATISFIED TO HAVE HIM [3] PREFER NOT TO HAVE HIM (UNSATISFACTORY) [1]

16. COMPARISON *(In comparison with other officers of his grade, how would you designate this officer?)*

THE VERY BEST I KNOW [9] ONE OF THE FEW HIGHLY OUTSTANDING OFFICERS I KNOW [7] A VERY FINE OFFICER OF GREAT VALUE TO THE SERVICE [5] A DEPENDABLE AND TYPICALLY EFFECTIVE OFFICER [3] IS NOT QUALIFIED AT HIS LEVEL (UNSATISFACTORY) [1]

Previous editions are obsolete

SN-7530-00-FO1-7140

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EXHIBIT (1)

CG-4126E (Reverse)

17. PERSONAL QUALITIES *(In comparison with other officers with similar length of service in this grade, to what degree has this officer exhibited the following qualities?)*	NOT OBSERVED	OUTSTANDING		EXCELLENT		VERY GOOD		GOOD		UNSATISFACTORY
a. **LEADERSHIP** Ability to plan, direct and guide the development and operation of the service, ability to solve complex problems of highest management through proper use of staff and facilities.		9	8	7	6	5	4	3	2	1
b. **HUMAN RELATIONS** Ability to establish good relations with the highest levels of national, local and service leadership, ability and purse in meeting social and ceremonial obligations, interest in the personal welfare and development of subordinates, interest in service policies and programs having to do with equal opportunity, individual welfare and development, ability to lead in a humane, cooperative and morally responsible manner.		9	8	7	6	5	4	3	2	1
c. **PROFESSIONAL KNOWLEDGE** Knowledge of the service, its roles and missions, knowledge of the command to which he is assigned, knowledge of the service's relationship with international, national, state and local governments, other armed services and federal agencies, private industry and unions and with various other organizations with which he may have to deal.		9	8	7	6	5	4	3	2	1
d. **JUDGMENT** Ability to recognize and select the important problems for action, ability to combine intelligence, knowledge, a sense of the operable and a sense of the practical in guiding the management of the service.		9	8	7	6	5	4	3	2	1
e. **FORCE** Proper control of positive motivation, moral courage, loyalty to superiors and subordinates, loyalty to service and country, ability to take initiative, courage of his convictions but willingness to abide by and live with official decisions that run counter to his own.		9	8	7	6	5	4	3	2	1
f. **INITIATIVE** Motivated to increase the Coast Guard's contributions to the nation by introducing and implementing worthwhile ideas, innovations and new developments, both his own and those of subordinates. Ability to follow through and control the direction rate and effect of actions which he has initiated.		9	8	7	6	5	4	3	2	1
g. Overall evaluation of personal qualities Composite of a. through f.		9	8	7	6	5	4	3	2	1
h. Desired distribution of marks in item g.		25%	40%	20%		15%				

18. COMMENTS *(In this section a general appraisal of the officer should be developed which will integrate and round out the evaluations made elsewhere on this form. Indicate any notable accomplishments including original and constructive professional work. A specific comment addressing the performance of EEO responsibilities is required in this section (See COMDTINST 5 1 34.2 series).*

19. I have marked this officer in accordance with the DESIRED distributions in sections 14g. and 17h.

Signature of Reporting Officer

20. What has been the trend of his performance since your last report?

FIRST REPORT ☐ IMPROVING ☐ STEADY ☐ DECLINING ☐

21. If any unsatisfactory mark or written comment of unsatisfactory performance is included in this report, check here. ☐ If so, it must be referred to the officer reported on for written comment and his comments attached to this report.

OFFICER	DATE	SIGNATURE	GRADE	SERVICE NO./SSN	TITLE OF POSITION
22. PREPARING					
23. REPORTING					
24. REVIEWING					

CONCUR ☐ COMPLETENESS ONLY ☐ COMMENTS ATTACHED ☐

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EXHIBIT (1)

topic of performance appraisal is briefly covered in courses at the Coast Guard Leadership School, the Coast Guard Academy, and the Officer Candidate School (OCS). No other formal training or specific guidance is currently available.

Although the primary use for the fitness report forms is for promotion decisions, it is also a key source of information for both the officer assignment process and the selection process for postgraduate and specialty training. Additionally, it is quite likely that the Office of Personnel will be required to use the data contained in these performance files to validate personnel procurement and selection procedures and instruments in compliance with the legal requirements of The Equal Employment Opportunity Act of 1972 and The Uniform Guidelines on Employment Selection Procedures (UGESP) of 1978.

Chapter 10 of the Coast Guard Personnel Manual (CG-207) is the primary source of information pertaining to the system as a whole. It is included in its entirety as Appendix B to this thesis. Of the topics and procedures contained in Chapter 10 of CG-207, the following will be referred to in this analysis and are presented in summarized form:

1. Showing of Fitness Reports

Chief warrant officers with less than two years of commissioned warrant service and officers in the grades of lieutenant (junior grade) and below shall be shown their fitness reports as part of a special counseling program. As a general rule, the officers in the grades of lieutenant

and above and chief warrant officers with two or more years of commissioned warrant service, will not be shown their fitness reports unless the report is unsatisfactory.

2. Monitoring Fitness Report Marks

Periodically, each reporting officer will be sent a copy of a printout comparing the marks assigned by that officer with all the other reporting officers in the service. This system is designed to allow the reporting officers to evaluate their marking tendencies and adjust their marking habits accordingly. No mandatory requirement is made for the reporting officer to adhere to any forced distribution. This feedback system is purely informational and it is formally labeled: Reporting Officer Feedback System (ROF).

3. Preparing Officer

Even though no delegation is specifically made, it is expected that an officer having direct supervision over another officer will prepare that officer's fitness report, either in the rough or smooth, as directed by the reporting officer.

4. Responsiblity of Reporting Officers

Section 10-A-2 of the Personnel Manual is a fairly comprehensive section which outlines the various kinds of errors inherent in any performance appraisal system and reminds the reporting officer of the critical importance of each and every report submitted. Additionally, it provides a step-by-step recommended rating procedure.

5. Responsiblities of the Reviewing Officer

These officers are required to check fitness reports for obvious errors, omissions, inconsistencies between numerical evaluations and written comments, and failures to comply with written instructions. If needed, the report shall be returned for correction or resubmission.

6. Personnel Evaluation and Counseling

Except for the junior officers mentioned earlier, performance counseling tied directly to the evaluation is discouraged. The use of fitness reports tends to overemphasize the quantitative aspects of past performance and inhibits broader counseling designed to assist in future career development. Counseling is encouraged and discussed in general terms.

In summary, we found the current Coast Guard Fitness Report System to be:

1. a traditional, evaluative rating approach designed to provide information concerning an officer's past performance,

2. its evaluative technique consisting of "judgment-based procedures, which define performance in terms of the opinion of knowledgeable observers" [Keeley, 1978],

3. containing very few elements of the collaborative, developmental, or planning approaches,

4. designed as an administratively convenient support system for certain important personnel decisions, i.e., promotion, assignment, and selection for specialty/postgraduate training (as such, the primary ultimate users are promotion boards and assignment officers at Coast Guard Headquarters),

5. by virtue of the foregoing, more historically oriented toward fulfilling the needs of the organization rather than the needs of the individual.

Inherent perhaps in the foregoing qualities is an explanation for the stamina and historical effectiveness of the current Coast Guard officer performance appraisal process. With respect to Thompson, Klasson and Lubben's (1979) eleven legally desirable elements for a performance appraisal system, the Coast Guard's system meets the spirit, if not the letter, of every one except that there is no current, widespread, explicit provision for appraiser (reporting officer) training in the use of appraisal techniques. There is an attempt being made, at the Coast Guard Leadership schools, to start to remedy this failing (by incorporation of a unit on performance appraisal).

Until recently, the top management of the Coast Guard have felt that their fitness report system was adequate (for making the required personnel-related decisions for which it was originally designed). There are, however, some potential problems which could reduce both the efficiency and effectiveness of the current system. These will be examined in detail in the next chapter.

IV. CURRENT PROBLEMS AND ATTEMPTED SOLUTIONS

During the last several years, challenges to the Coast Guard's present performance apparisal system have surfaced from sources both external and internal to the organization. One of these was noted in September 1978 by the Chief, Office of Personnel in a letter to all commissioned officers in the service. His personal enthusiasm was evidenced by the statement: "Only through your efforts can our fitness report system remain a viable tool for evaluating our officers. I would also encourage you to insure that your subordinates, especially junior officers, develop a complete understanding of the fitness report process." Enclosed with each letter was a copy of Commandant's Instruction 1611.7 dated 13 September 1978. The subject was: Officer Fitness Reporting System (see Appendix C). The stated purpose was: "...to inform the officer corps of the status of its fitness reporting system, to publish revised service norms for use when writing fitness reports, and to urge the support of all preparing, reporting, and reviewing officers in reversing the alarming inflationary trend in fitness report marks." The following citations represent the chief causes for the mark inflation (mentioned in the Commandant's Instruction):

1. "Limited growth in the size of the officer corps, and very little voluntary attrition have combined to make our promotion process increasingly competitive."

2. "Evaluation systems tied to promotion and pay tends to create pressure on the evaluator to inflate subordinates' marks."

3. "A lack of information has contributed to suspicion and mistrust in the officer corps in regard to the fitness reporting system."

4. "The overall competence and performance level of officers in general may be at a higher level than in the past."

Another issue related in part to the inflation is the increased concern over performance feedback. Officers reported on not only desire to know where they stand with respect to promotion probabilities, but they also are concerned with a perceived lack of daily, on-the-job feedback concerning their performance. These perceptions, coupled with the increased competition for promotion and the aforementioned mark inflation, have led to a number of legal challenges to pass-overs resulting from the best qualified promotion system (through the Board For The Correction of Military Records (BCMR).

> One of the more frequent arguments presented by petitioners to the BCMR has been that the officers passed over were unaware they were in danger of being passed over because they had never been shown fitness reports or told they were doing poorly by their reporting officers. Consequently, assuming they were doing well, these officers never bothered to write or visit Headquarters to view fitness reports on file until shocked one day by a promotion board. The point of contention, frequently successful for petitioners, is that certain reports reflected an evaluation of

> unsatisfactory performance and should have been returned to the officer reported on for comment. Although the reporting officer, reviewing officer, and personnel in Headquarters had not interpreted these comments as unsatisfactory, the BCMR frequently found otherwise, and overturned the decision of the promotion board. (1978 CGHQ Study Group)

Thus far, this thesis has viewed the Coast Guard's Fitness Report System problems generally, from the point of view of the literature, and more specifically in the last two chapters. In the following chapter, this system will be critically analyzed to provide a basis for recommendations and/or modifications.

V. ANALYSIS OF CURRENT CG FITNESS REPORTING SYSTEM

There are two major interrelated perspectives associated with performance appraisals systems. The distinction between them is important. First, there are theoretical system design elements to be considered when deciding which mix of approach, techniques, forms, etc., will best combine to meet both the organizational and intended users' goals for the system. Secondly, there are both general and organization-specific implementation elements associated with performance appraisal that create a variety of interesting new challenges, as the system interacts with other on-going organizational processes. During the analysis that follows, both of the foregoing categories of elements will be considered as perspectives with which to examine the current Coast Guard Fitness Reporting System. An attempt will be made to ascertain whether or not any theoretical system design deficiencies exist in the current Coast Guard Fitness Reporting System, and which, if any, ineffective systemic variables require modification.

A. THEORETICAL SYSTEM DESIGN ELEMENT CONSIDERATIONS

As previously noted in the literature review, there are numerous variables and trade-off issues common to the basic process of performance appraisal. Each has its inherent strengths and weaknesses. Since the primary use for the Coast Guard's system is to support promotion/nonpromotion decisions, the organization has chosen to utilize a traditional

oach to appraisal which employs the rating technique of
aphic-rating scale form which includes space for narra-
comments in support of the numerical marks assigned.
choice of this judgment-based technique is considered,
ne literature, to be particularly appropriate for apprai-
situations where there is often low consensus regarding
is considered to be average, above average, superior,
tanding, etc., performance, i.e., under widely varying
itions, challenges, operational requirements, many of
n are unstructured and nonroutine. Against this spectrum
ncertainty, 'performance' is very much relative to the
ue values, standards and expectations of excellence
rnalized by each evaluator in a system of evaluators
ley, 1978].

On the negative side, the foregoing approach, techniques,
forms also have some drawbacks which sometime result in
em problems. To repeat some of the problems mentioned
ne background chapter, there are the formalization
ts" [Galbraith, 1973] associated with the organization
cting its performance appraisers abstractly to categorize
r subordinates (what McGregor, 1957 called "playing
which quite often results in an "...inherently unfair
of an unevenly applied numerical scale...(which)...allows
rely too much latitude for inadvertent error or downright
pulation" [Hunter, 1979].

In order to balance the positive and negative, it was
ssary to search further through recent empirical research

which would be applicable to the Coast Guard's organizational environment for appraisal. Several developments were found, including:

(1) Keeley (1978) proposed a contingency model of evaluation and also attempted to develop a classification scheme for the various appraisal techniques in use. He stated that:

> One logical basis for classification involves the specificity of performance expectations (that are) described by a particular technique. This 'specificity' of performance expectations will include such factors as their degree of detail, their compatibility with one another, their stability over time, and their consistency of importance across evaluators.

He then listed three general classes of techniques, in decreasing order of specificity:

1. Behavior-based procedures, which define performance in terms of observable, physical action - e.g., behaviorally anchored rating scales.

2. Objective-based procedures, which define performance in terms of end results - e.g., Management By Objectives.

3. Judgement-based procedures, which define performance in terms of the opinions of knowledgeable observers - e.g., multi-rater techniques.

As mentioned previously, the Coast Guard's Fitness Reporting System utilizes the judgement based procedures by requiring preparing, reporting, and reviewing officers, all knowledgable observers, to reach agreement concerning each fitness report (prior to submission to Headquarters, where it will be reviewed again). This reviewing chain-of-command has the additional inherent strength of adding an extra

measure of fairness and equity to the appraisal process during the higher-level, non-specialty review of reports prepared and reported on by specialties (e.g., aviators, merchant marine safety types, engineers, etc.), usually with respect to officers in that same specialty.

The primary departure from Keeley's "judgement-based procedures" classification for the Coast Guard's Fitness Reporting System is apparent when it is noted that the Coast Guard system is not presently oriented toward the explicit use of performance expectations (of reporting officers) as a conceptual basis for appraisal; rather, the current basis "for evaluation" is stated on the actual fitness report forms to be: "...in comparison with other officers with similar length of service in grade, consider the requirements of his position and evaluate his performance."

(2) Associated with the concept of explicit, albeit contingent, performance expectations is the important relationship between an officer's behavior and actual performance results [Patz, 1975]. In a survey of 19 companies it was found that "...the most important implicit purpose (for performance appraisal, according to the top management of those 19 companies) was to force a long line of unwilling bosses to face up to the task of relating employee behavior to actual results. Blame and praise may be easy to assign generally, but objective statements relating actions to consequences are extremely difficult to make."

The current Coast Guard system, in its instructions and guidance, stresses the need for objective comments regarding performance; however, there are no explicit requirements for reporting officers to describe cause and effect relationships observed (by them) during the reporting period (in support of the numerical evaluative judgements that they are required to make with respect to the subordinate reported on).

(3) The distinction between performance appraisal and professional development, with respect to one supporting the other was made quite clear throughout most of the literature.

The Coast Guard is currently field testing a behaviorally-anchored performance appraisal system as a potential replacement for its current Enlisted Personnel Evaluation System. A portion of this prototype includes a required (but non-record) counseling/developmental information support form based upon the critical incident appraisal technique. It is logical to assume that, if this technique is found to be both applicable and attractive for the enlisted system, it may be deemed to be the solution to some of the problems with the officer Fitness Reporting System. A careful review of the BARS literature would, however, suggest that the less certain, less structured, and more situational nature, with respect to officer performance appraisal would all serve to limit a BARS technique's potential effectiveness in an officer system (see Kearney, 1979).

As previously described in the background chapter,
l, Dunnette, Lawler, and Weick (1970) proposed a
process-product model which would support the expec-
nd cause-effect concepts discussed above. They pointed
t most appraisal systems focus on the person (indi-
traits and abilities) or the product (organizational
like profits, productivity and costs). The process
tion, which looks at the manager's on-the-job behavior
ivity has not received the same attention as the
or product, since what constituted effective mana-
behavior was unclear.
ing now examined some of the theoretical system design
considerations, it is necessary to review some of
eral and organization-specific implementation elements
ted with the Coast Guard's Officer Fitness Reporting

HODS USED FOR THE ANALYSIS

the context of the uncertainty surrounding even a
e Coast Guard transition to some new officer perform-
praisal system it seemed logical to examine first how
e current system has been implemented, and how well
urrently being administered. This analysis was con-
to be necessary in order to assess the organizational
or environment for any future change, i.e., it would
en required for the eventual transition strategy
tion anyway. In addition, this assessment could yield

possible interim improvements which should be made, pending any such change.

The methods used for the analysis included telephone interviews with District Personnel Officers; a review of the fitness-report-related correspondence file at Coast Guard Headquarters; a review of the June 1978 Fitness Report Study Group Report concerning the showing of, counseling use of, and Reporting Officer Feedback (ROF) system as it pertained to Coast Guard fitness report forms; and, an actual content analysis of 100 recently completed and reviewed Coast Guard fitness reports. In addition, a review and analysis was conducted of the Equal Employment Opportunity Act of 1972, the Uniform Guidelines on Employee Selection Procedures of 1978, and several of the findings from the Department of Transportation Board for Correction of Military Records (BCMR), in order to assess the real and apparent pressures for change or modification of the present system, from outside sources external to the Coast Guard.

1. Telephone Interviews

The Personnel Officers in ten Coast Guard districts were interviewed by telephone. The Personnel Officers were chosen because they are necessarily involved with the officer fitness report system as reviewing officers for lieutenants and below, as preparing officers, and as subordinates being reported on. They are typically Commanders or Captains with at least 15 years of service. Additionally, they are in constant contact with field personnel concerning matters relating to all facets of personnel evaluation.

Interviews as a method of gathering data was chosen because it was felt that an open-ended format was best suited for soliciting opinions and probing for field perceptions of the fitness reporting system. It was suspected that many of the issues would be subtle to some of the interviewees, and interviews would allow for probing and using follow-up questions for important issues. The telephone was used vice personnel interviews because of the prohibitive costs for travel and per diem. A mail survey was considered because of its low costs, but the restrictive format and structure was considered too rigid for this thesis. Support for this approach was found in the recent work done at the Survey Research Center of the Institute for Social Research at the University of Michigan by Robert L. Kahn and Robert M. Groves (1977). They found substantial advantages: "The telephone has always had appeal ... It is convenient and there's no doubt that it produces a very significant cost saving" over the more traditional methods for gathering data.

Each of the interviews lasted approximately 40 minutes. The line of questioning was generally structured around two main themes: (1) the barrier concept developed by Patz (1975) which identified systemic barriers and behavioral barriers. Systemic barriers are those designed into the appraisal forms and procedures, and behavioral barriers are such things as the fears, concerns and biases that develop among both the individuals being appraised and those doing the appraising. (2) Alternative approaches to performance

appraisal such as an all narrative form as proposed by Dore Hunter (1979). His proposal, discussed in Chapter II of this thesis, contained the idea of an all narrative format to alleviate the stress on numbers and provide a more acceptable format from a legal perspective. An all narrative form used by Hewlett-Packard for their management development program was used as an example for the interview, and a copy is contained in Appendix A.

2. Fitness Report Content Analysis

Coast Guard Headquarters supplied a random selection of 100 recently completed, reviewed, and administratively "sterilized" fitness reports. A content analysis of these reports was made to determine:

> (1) whether or not the "average" fitness report's comments section provided an adequate enough word picture to assist system users in differentiating between individuals on "paper",
> (2) whether or not the recent attempts by Headquarters to reverse the recent numerical mark inflation trend have any measurable effect,
> (3) what correlations existed between the numerical mark totals on the various fitness reports and the quality and quantity of supporting comments for those respective reports,
> (4) whether or not the reports will contain more meaningful performance feedback information now that each report is being returned to the subordinate being reported on,
> (5) and, finally, how closely the format, structure and content of the comments conforms to the recommended guide for preparing fitness reports that appears in the Coast Guard Personnel Manual (see Appendix B).

A scoring method was developed whereby the comments section of each fitness report in the sample was analyzed for the number of specific comments pertaining to performance

factors and the number of specific comments pertaining to personal qualities. These two categories are the major groupings for fitness report variables on the forms. Fifteen other ancillary variables relating to the recommended guide in the Personnel Manual were also included and a complete listing is contained in Appendix D.

3. Fitness Report-Related Correspondence Content Analysis

The method involved with the review of fitness report-related correspondence was a general content analysis of an "administratively sterilized" (i.e., all names removed) copy of the Coast Guard Headquarters correspondence file concerning the fitness reporting system. This analysis was oriented around the questions: (1) were the current procedures adequate; and (2) how was the current system perceived by those in the field who felt strongly enough about it to write to Headquarters?

4. Review of June 1978 Fitness Report Study Group Report

The extent and methods of performance counseling practiced in conjunction with performance appraisals was assessed by reviewing a 1978 report of the Fitness Report Study Group.

5. Analysis of Current Forms and Procedures, for Content and Face Validity

The method involved with the investigators own analysis of face validity and content validity of the current forms and procedures consisted of a subjective comparison against standards extracted from the literature, i.e., the

Handbook of Social Psychology standard of "...the degree to which there is consistency or reliable correlation between the intentions of the designers of a theoretical construct (a form or a written procedure) and the resultant understanding and conformance (with those intentions) that it elicits, over time, from its users..." A recent Request For Proposals issued by the Coast Guard commented on this same aspect of the current system, in making the remarks: "...Rater marking behavior is influenced by the rating form itself, by the items in the form, and by instructions. Accordingly to achieve desired rating distributions, intercorrelations, reliability, and factor analytic content, it is necessary to design the form so that it will use the effects of form design, content (and supporting instructions) on (desired) marking behavior ... the forms may contain a comments section, ... a performance section and a personal-qualities section. These are important factors which have face validity and are statistically identified in factor analytic studies of service performance systems... (and) the form or procedure should have content validity to the level of abstraction required to fit across officer specialties and for whatever grades are encompassed by the form and for the intended use."

C. FINDINGS FROM FOREGOING ANALYSES

1. Findings from District Personnel Officer Interviews

The majority of Districts follow similar procedures with respect to their administration of the current fitness

report system. The following data was found to be generally true of all Districts:

Each District Commander promulgates a local directive outlining the required procedures for designating who, in the district chain-of-command, will be designated to be either a preparing officer or a reporting officer. Included within these directives is any District-specific information and/or guidance concerning such items as the local review procedure, the schedule of submission of reports, etc. One District chose to amplify the guidance provided (mainly by the CG Personnel Manual) with respect to the comments section. In an apparent attempt to improve the quality of the narrative support of the officers under his administrative control, this District Commander provided an enclosure to his District Instruction which was actually a copy of an Air Force Guide for preparing their performance evaluation forms (see Appendix E).

During the review procedure in all Districts, each fitness report was at least reviewed for completeness; additionally, any reports which evaluated an officer's performance to be either absolutely outstanding, i.e., a maximum numerical score was assigned; or, performance that is considered to be unsatisfactory, were both reviewed very carefully. This was normally done to ensure that the evaluations assigned were both fully documented and fully justified.

Typically, district commanders used both regularly scheduled conferences with commanding officers and staff

meetings to discuss the new distributions and encourage compliance with the intent of the Commandant's efforts towards reversing the inflationary trend identified in Appendix C. With the exception of only one District, no specific attempts were being made to monitor statistical changes in the marking profiles of their respective districts. The typical reason given for this lack of statistical monitoring was that headquarters had indicated in their directive (see Appendix C) that they would monitor the changes and advise the field. One district office attempted to keep in the spirit of trying to slow the inflation by using informal, subjective evaluations of marking trends by unit. That is, they monitored each command's general distribution without resorting to strict numerical methods. If a unit "seemed" to be too high or too low, the personnel officer would informally discuss the matter with the reporting officer on the telephone. There was no formal pressure to change marks; it was described as an educative and awareness effort. Further details were not available.

All of the District Personnel Officers interviewed were pleased that the actual, service-wide, experienced distributions of marks were now printed on the forms reprinted in late 1978. They stated they had suspected that the distributions printed on the previous edition of forms were unrealistic and out-of-date. At the same time, they expressed concern that since an inflated distribution of marks was

common knowledge throughout the officer corps, it might lead to even greater inflation in the future.

They were hopeful their predictions would be proven wrong because they felt the current system was a good one when compared with others of which they had personal knowledge. Saving the current system and forms was their preference. Many were aware of the problems experienced by the Department of Defense services when they had resorted to a strategy of changing systems to curb severe inflation, only to have each new system very quickly suffer from the same problems. They basically felt that the Coast Guard's system was fair and in need of only minor modification.

The largest single complaint was that the disproportionate number of the officers were grouped in one category. For example, on the new form for Lieutenants and Warrant Officers (W3), 40% are to be marked in the high excellent column (see exhibit 1). This was very frustrating to most reporting officers because it did not give them any perceived discretionary power in their marks.

Virtually all of the officers interviewed expressed curiosity as to why the distributions provided did not include the "Attitude" and "Comparison" items (sections 15 and 16 on the forms). This information was not included on the new forms but it was included as part of the Commandant's Instruction 1611.7 (see Appendix C).

The majority of officers interviewed did not understand why the distribution information for warrant officers

was not provided separately in a manner similar to the other ranks.

The majority of the personnel officers reported they had been receiving a significant number of telephone calls from reporting officers in their Districts inquiring about the new distributions and procedures for completing fitness reports. The distributions of marks on the forms had not been changed since 1972 and the general consensus of those reporting officers in the districts (in addition to the previous views expressed) was that inflation was increasing. Only those who had served on promotion boards had any notion of what the actual trends were. Consequently, rumors prevailed for several years relative to what a promotable score was for any given rank. As indicated in these interviews, many District personnel officers felt that, in their Districts, many of the reporting officers first decide whether or not to give his subordinate a "promotable" score, based on what he perceived would be required for a promotion board to consider favorably that subordinate for the next paygrade. The people calling for guidance were very concerned because the actual distributions seemed to indicate that the majority of officers in the Coast Guard were in the excellent (or above) categories (see enclosure 1 to Appendix C). The personnel officers' guidance typically consisted of urging the reporting officer to be objective and stressed the need to make the comments section as informative as possible. They also reported that most officers truly desire

to be objective but, due to the instability of the system, they showed concern for their people receiving a fair chance when considered for promotion.

Of the ten Districts represented through the interviews, only two had changed their formal review procedures after the publication of Commandant Instruction 1611.7 (Appendix C). One of those two was, as a result of their new review procedures, substantially different from the others. In an attempt to reverse the inflationary trend, they had established a method of applying a "strongly desired" distribution for all marks assigned within their district. Each reporting officer was sent a personal letter from the district commander outlining the new "desired distribution" policy. The chief of staff subsequently held sessions with all reporting officers wherein the new District instruction was thoroughly discussed. All were advised that scores were to be monitored to ensure the district as a whole would comply with the spirit of the Commandant's appeal. As a consequence, they had realized a substantial shifting of marks toward the low end of the overall servicewide distribution of marks, and their distribution was approaching the "desired" distribution. However, this policy was based on the assumption that all the Districts should each have a distribution similar to that of the entire service. The reporting officers of this particular District were initially quite apprehensive about the approach, but after a short time they acquiesced and then supported it. A primary concern did eventually

surface, i.e., if all of the other Districts did not have a similar policy, then their personnel would be at a severe disdvantage. Because of the increasing concern, the officers of that District subsequently corresponded with the Office of Personnel in Headquarters, to advise them of this dilemma and seek guidance for the future. The outcome was not available to be reported in this thesis.

At least one implication can be gained from the data gathered during the District Personnel Officer interviews: For a policy to be successfully implemented service-wide, it should be closely monitored initially, to try to insure uniformity.

Those District Personnel officers who have been to graduate school in management were more familiar with some of the current trends in performance appraisal such as management by objectives, etc. They also had a tendency to indicate more of a concern for the needs of the individual in terms of feedback from supervisors.

During our interviews we suggested to each officer that the Coast Guard might consider an all narrative form based on some form of goal-directed system similar to MBO. The reaction of all officers was negative because of negative feelings toward MBO as the result of attempts to use it in the Federal budgeting processes. They also felt that a system such as MBO would be too constraining because they perceived the goal setting process to be one in which the performance objectives would have to be very specific and concrete in

terms of performance output. Their typical opinion was that specific and measurable output objectives are too difficult, and sometimes even impossible to develop. Additionally, they felt that the system would be too time consuming for reporting officers. This was particularly evident within the marine safety community, because the larger offices have large numbers of officers assigned to each reporting officer, and goal setting was perceived to be too much work to be worthwhile.

We also proposed another hypothetical type of system to the personnel interviewed. We described an all narrative form and system that is used by Hewlett-Packard Corporation (see Appendix A) and recommended by Hunter (1979). Their opinions were sought about the use of a form which included a set of questions to be answered by the reporting officer instead of the free-form narrative comments currently used. Many found this idea conceptually appealing but had reservations because of its length. A few even felt that they would need some kind of special training in order to feel capable of answering Hewlett-Packard's questions such as the one about leadership. In all fairness to the Hewlett-Packard form, it was difficult to describe over the telephone and was probably not given a fair showing.

2. Findings from Fitness Report Correspondence

A series of letters addressed to headquarters from field personnel (in the ranks LTJG through Admiral) was provided by the headquarters study group for this analysis. These

letters typically proposed solutions to all of the perceived problems which are plaguing the system. The majority included recommendations to deal artificially with inflation by developing statistical conversion schemes, for adjusting the numerical scores on fitness reports upon their arrival at headquarters for filing. These proposed solutions ranged from using the Reporting Officer Feedback (ROF) data to adjust the scores (downwards for lenient markers, upwards for hard markers, etc.). (As described in Chapter III, the ROF system is designed to inform the reporting officer how he compares with all the other reporting officers in the service with respect to his assigned marks.) Other suggestions included using forced distributions at various levels in the field organization. Some, of course, recommended developing an entirely new system which would be more "sophisticated" in the hopes of obtaining the desired spread of numerical marks. Their recommendations were based on the assumption that some successful method in fact exists in the state-of-the-art of performance appraisal and statistics. There were no specific systems cited; all the suggestions were what "ought" to be. The data did indicate that the personnel in the field's level of knowledge about performance appraisal systems was, in general, not very high. These data also indicated the reluctance of field personnel to take action of a preemptive nature, with respect to performance appraisal, hoping that headquarters would devise a numerical scheme to

take the pressure off the system (without changing the actual marking habits of the average reporting officer).

3. District Personnel Officer Perceptions and Opinions Concerning Current Forms and Procedures

Since face validity and content validity are critical variables within any performance appraisal system, the perceptions of field personnel using the current forms and instructions were considered important to the analysis. All the comments received will not be listed in this thesis. Only the ones considered more relevant by these investigators and the ones cited by a majority of the personnel interviewed are included.

The most widely received comment was that the numerical scales provided on the forms for the attitude and comparison sections (items 15 and 16) were inadequate. Most did not understand why the numerical increment is 2 on items 15 and 16 instead of the single step separations between rating scale criteria of items 14 and 17 on the forms. They felt that a 1-9 scale would be more appropriate for all the scales. Most felt that this would allow the reporting officer more discretion and the resulting spread would be more valid.

Many felt the verbal criteria and descriptions used for both the "performance" and "personal qualities" scales were too vague and difficult to use. The "experienced distribution of marks" information was perceived to be a better basis for assigning marks than the verbal scales provided. However, those interviewed did state that the verbal scales

in the "attitude" and "comparison" sections were more meaningful and easier to use.

Approximately half of the personnel interviewed felt that the verbal descriptors in the personal qualities section were somewhat dated and did not reflect the current values of the service. When asked for additional details and reasons for these opinions, most replied with comments such as: "there should be a weighting scheme to indicate which qualities were more important than others." Additionally, it was felt that many of the categories overlapped each other to a degree, and that the leadership category was the one which overlapped the others most often.

Overall, most were satisfied with the forms and instructions and felt that, if the inflationary trend could be curbed, they would be perfrectly happy to continue to use similar forms and procedures in the future (with minor improvements in the areas mentioned above).

4. Field Opinions Regarding the "Showing" of Completed Fitness Reports and Their Use for Performance Feedback

The primary source of data was an analysis and report compiled by the Fitness Report Study Group at Coast Guard Headquarters in June of 1978. Additional insights came from the previously-mentioned District Personnel Officer interviews.

Answers to the following questions (extracted from the survey) were provided by results of the June 1978 Fitness Report Study Group telephone survey of officers in the field:

(1) To what extent are reporting officers showing or discussing the fitness reports written upon officers of the grade LT and above?
(2) What are the feelings of Coast Guard officers, both as subordinates reported on, and as reporting officers, regarding the "showing" or return of reports?
(3) What would be the reaction of reporting officers to a procedure whereby all subordinates would be able to file comments in writing with respect to any fitness report written on them?

The above questions were researched by the Fitness Report Study Group in an attempt to develop alternatives to improve the Fitness Report System and also to reverse the trend toward more and more Board for Correction of Military Records (BCMR) cases related to fitness reports.

The fitness-report-related correspondence to Headquarters indicated that there was a growing perception in the field that the Fitness Reporting System had become an "autopsy reporting system," i.e., subordinate officers reported on did not get enough performance feedback, during the reporting periods, and then were "surprised" when they finally saw the reports for those periods.

These perceptions led to an organizational reality that the Coast Guard could not ignore when an increase occurred in the number of BCMR cases brought by "passed-over officers" (i.e., those who have failed to be selected, for the next higher paygrade, by one or more subsequent promotion boards). Individuals bringing these cases have contended that they were "unaware" of reported (comparative) shortcomings in their performance, primarily because they had never been "shown" their fitness reports or counseled in any manner regarding the contents of those reports.

In order to answer the foregoing questions, and to gather data necessary to support decisions which would later be made regarding the system, the Fitness Report Study Group surveyed a stratified sample of 80 officers (20 per grade LT-CAPT), selected at random by computer, to answer questions posed to officers reported on. A second stratified sample of 60 (20 per grade LCDR-CAPT) was similarly selected to answer a second group of questions posed to both officers reported on and reporting officers). Three Coast Guard flag officers were selected randomly, as well, to participate as reporting officers.

Data and conclusions from Headquarters survey, considered to be relevant to this thesis, are as follows:

(1) Considering both groups together, over 90% of those surveyed favored the proposal that Coast Guard Headquarters send copies of completed and reviewed reports back to the respective officers reported on.

(2) Nearly 83% of the reporting officers surveyed claimed that they discuss completed reports with their subordinates. This statistic was consistent for all three reporting officer paygrades surveyed.

(3) Approximately 70% of the reporting officers surveyed favored the concept of subordinates having an opportunity to comment on any of their own fitness reports, as long as those comments would be submitted via the reporting chain-of-command.

(4) It appeared that many officers reported on do not feel that they receive sufficient feedback from their

reporting officers and 60% claimed that they would favor a procedure suggesting or requiring the reporting officer to personally provide a copy of the completed fitness report directly to the affected subordinate. The majority of reporting officers said that they would show the reports to their subordinates; however, they did not favor being required to do so.

As a result of the CGHQ survey, and subsequent decisions based on it, a copy of each fitness report is now being sent to personnel (after it has been reviewed by the chain of command and filed in the officer's record). Additionally, the "showing", and use of reports for performance counseling is no longer prohibited for any rank. It is now optional. Furthermore, new procedures have been proposed whereby subordinates can comment on their fitness report ratings and submit these comments to Headquarters, via the chain of command, within two weeks of receiving their copy of the report.

5. Field Opinions Regarding the Reporting Officer Feedback (ROF) System

One other survey question, not mentioned in the previous section, was asked of the reporting officer sample: What do reporting officers think about their ROF data? Results from the survey indicated that:

(1) during the year preceding the survey, 86% of the reporting officer sample had actually received ROF data (ROF data were designed to alert each reporting officer in

the Coast Guard of the probability that the fitness report marks he had assigned, during the previous marking periods, either were or were not conforming to "expected service norms"),

(2) of those who received ROF data, 83% felt it was accurate,

(3) of those who received ROF data, 78% felt it was understandable, but only 65% felt it was useful.

During the interviews conducted with District Personnel Officers (discussed previously) certain additional data were gathered regarding their opinions with respect to the ROF system. These data are reported here to amplify what seems to be the general field perception regarding this (potential) inflation control mechanism:

(1) The data indicated the ROF information should be provided in a more timely fashion.

(2) The current ROF format combines statistics (for LCDR and LT together). This was reported to be confusing for many reporting officers.

(3) Many felt the warrant officers, now excluded from the report, should be included in future reports to each reporting officer.

(4) Many felt the statistics for the attitude and comparison sections should be included in the ROF reports.

(5) A suggestion was made to start collecting ROF data for preparing officers so that, when they become reporting officers, a marking record would already have been compiled.

(6) Many felt headquarters should decide whether or not the ROF would be made available to the promotion boards, and that this decision should then be communicated to the field. (Later discussions with Coast Guard Headquarters indicated that current policy was not to furnish ROF data, of any kind, to promotion boards.)

Coast Guard Headquarters does seem to be interested in the potential of the ROF system for the future. Recently, the Chief, Office of Personnel, approved the recommendation of the Fitness Report Study Group to reduce the ROF error rate and to study methods of improving system effectiveness and usefulness.

6. Content Analysis Findings From 100 Recent CG Fitness Reports

Findings from the content analysis are summarized below:

(1) The quantitative mean, for numerical total of the four marks assigned on each report, was 32 for the sample of 100 reports. (There are four separate numerical marks assigned per report, each with a range of 1-9, making the theoretical maximum per report to be 4 x 9 = 36.)

(2) The mean number of comments pertaining to performance was 5.4. The scores ranged from a maximum of 1.40 to a minimum of 0.0. The histogram in Appendix G indicated a slight skewness toward the low end of the range.

(3) The mean number of comments pertaining to personal qualities was 3.3, with a range from a maximum of 9.0 to a minimum of 0.0. The histogram in Appendix G indicated a slight skewness toward the low end of the range.

(4) Every one of the 100 reports analyzed contained fewer comments pertaining to "personal qualities" than to "performance."

(5) In the opinions of the investigators, 24 of the reports contained information concerning job descriptions that was considered excellent, in terms of quality and quantity, 62 that were considered adequate, and 14 that were considered to be poor. There seemed to be a reasonably good correlation between overall quantity of comments and specific quality of job description information.

(6) Weaknesses (perceived by reporting officers) were mentioned on ten of the reports.

(7) Self-improvement efforts, on the part of the subordinate reported on, were mentioned by reporting officers on 24 of the reports.

(8) Reporting officers recommended future assignments, either generally or specifically, on 31 of the reports.

(9) Areas in which the subordinate needed further development were recommended on four of the reports.

(10) Specific accomplishments in the area of civic responsibilities were mentioned on 20% of the reports. Most of the comments were found on the reports of the more senior officers for whom such responsibilities were part of their jobs. There were a few who assumed these responsibilities even though they were not required.

(11) Comparative information upon which the judgements were based were mentioned on 42% of the reports. The remaining

58 were descriptive only and the reader had no explicit point of reference for judging the level of performance described in the narrative.

(12) An analysis of variance showed there was a difference between communities (i.e., specialties such as aviation, engineering, marine safety, etc.), with respect to the number of comments pertaining to performance factors, significant to the .07 level.

(13) Using the Kendall Rank Correlation Coefficient, it was found that the correlation between rank and the total numerical fitness report mark was .2, significant at the .014 level. The correlation between the overall numerical mark and the number of comments for performance was .28, significant at the .001 level. The correlation between the overall numerical mark and the number of comments for personal qualities was .14, significant at the .077 level. The correlation between the number of performance comments and the number of personal qualities comments was .34, significant at the .001 level.

It seemed quite evident to these investigators that, based upon the results of the foregoing content analysis, there is substantial room for improvement, in both quality and quantity of fitness report comments provided by Coast Guard reporting officers.

7. Analysis of Pressures for a System Modification or Change From Sources External to the Coast Guard

Previous sections within this chapter have analyzed symptoms, causes, and problem sources internal to the organization. There are other important external considerations, for those tasked with administration and oversight responsibility for the current or any future performance appraisal system. First, the legal requirements of the Equal Employment Opportunity Act of 1972, and the most recent issue of the Uniform Guidelines on Employee Selection Procedures (1978), both indicate that future methods of selection, assignment and promotion, as well as similar other personnel actions, will have to be validated. According to the law, validation should come from an empirical study which demonstrates not only content validity but also correlation validity between personnel procedures and instruments and on-the-job performance measures. Although the current system does not appear to have any deficiencies when compared to the list of criteria at the end of Chapter II of this thesis, these legal issues in the area of validation will have to be addressed very carefully whether a new system is developed or the current one is retained.

The second consideration stems from the pressures being exerted by the Board of Correction for Military Records (BCMR). Part 52 of Title 33 of the Code of Federal Regulations requires the Secretary of Transportation to designate

a number of civilian employees of the Department for service on the Coast Guard BCMR. Citing from the Code:

> The function of the board is to consider all applications properly before it together with all pertinent military records to determine whether an error has been made in the Coast Guard records, or whether, under normal standards of military law, administration, and practice, the subject of the application has suffered a wrong as the result of an error of omission or commission in his records, or through some manifest injustice in the treatment accorded him.
>
> 52.05-5 CFC, Title 33

As the competition within the officer corps has increased in recent years, so has the number of appeals to the BCMR as indicated by the fitness report study group in a recent report.) The number of appeals is not as important as is the significance of the recent results of those appeals. Although the actual files were not available, it appeared there have been two types of cases which have been successfully argued. The first type stems directly from the inflation of marks. The earlier edition of forms contained "experienced distributions" of marks for each of the numerical scales, based on an analysis done in 1972. There was great uncertainty expressed by the field, with respect to the actual distribution since 1972. As inflation increased many officers apparently became more lenient with their marking tendencies. Some, however, did not. Officers who have been passed-over have appealed to the BCMR stating that their reporting officers had marked them in accordance with the outdated "experienced distribution" and not the actual

distribution. Their reporting officers have concurred with their complaints, and several officers have either had their records changed, or they have been reconsidered for promotion, or both. The recent publishing of the actual distributions apparently was, to a large extent, due to these BCMR cases.

The second type of case is related to the requirement that the reporting officer evaluate each subordinate in comparison with officers having similar length of service in the same grade level. F. Dore Hunter, a retired Coast Guard lawyer, who has had occasion to plead Coast Guard plaintiffs' cases before the BCMR, commented on this problem in a recent article [Hunter, 1979] after which he proposed a fitness reporting system based on an all narrative form with a set of specific structured questions to be answered by the reporting officer:

> It is respectfully submitted that the curative steps taken do not address the root source of the problem - the inherently unfair use of an unevenly applied numerical scale. Any given Reporting Officer only reports on a limited number of officers and cannot, out of his observation, rank order all the officer's peers. He must, therefore, translate some abstract definition of the meaning of a particular numerical grade in order to apply it to his officers. Inevitably, the only meaningful numerical grade becomes that which will achieve promotion selection. Furthermore, the stress on numbers allows entirely too much latitude for inadvertent error or downright manipulation.

Based upon the foregoing section, it seems that the Coast Guard must take into account, both internal and external pressures for system change or modification, in their future planning.

D. SUMMARY AND CONCLUSIONS BASED UPON THE ANALYSIS

Based upon the interviews of District Personnel Officers, the content analysis of fitness report-related correspondence, and the review of the June 1978 Fitness Report Study Group report, the credibility of the current Coast Guard Fitness Reporting System, with both reporting officer and officer reported on, is in jeopardy.

The recent publication of "experienced distribution of marks" further stressed the emphasis upon the numerical grades assigned,rather than the actual level of performance being evaluated, resulting in a decrease in the user's confidence in the system. The underlying concern of the reporting officer is the perception that the "average" officer in the Coast Guard (who is nonetheless expected to be very effective in his job) is denied a "fair and equitable" opportunity to compete for promotion due to the increasing numerical mark inflation. Whether this is, in fact, true or not is somewhat irrelevant, because the perception in the field is "their" reality. Most realized they are not in a position to decide whether or not an individual should be promoted, but they did feel very strongly that they could decide whether or not the individual should at least be seriously considered in the competitive zone. At the minimum, this is the kind of discretion they feel they <u>should</u> have.

At the present time, there is a feeling in the field that the numerical total from each fitness report is the

primary promotion determinant. If a strategy could be devised to "encourage promotion boards" to rely less on the absolute numbers, then the comments on the individual's fitness reports (and the other portions of the entire personnel record) could become more important. Evaluation of the data indicates that there are other inconsistencies which could become problematic in the future, regardless of the type of system the Coast Guard decides to adopt. One of the major findings was that the amount of information in the comments section decreased as the numerical score decreased. Moreover, on a subjective basis it was felt that the reports having the lower numerical scores generally also had rather vague comments; they frequently read more like job descriptions and were less evaluative than those with higher numerical scores. Thus, in terms of total information yield (for decision support purposes) the "average" reports could all "look alike" to a promotion board (who would then be forced to differentiate between these individuals based on poor and vague support comments or other factors).

The majority of officers interviewed claimed that they would prefer to keep the current system. One of the major justifications suggested for keeping the current system, was that most officers interviewed were not aware of the options available in the state of the art performance appraisal. Those who felt that a radical change was necessary were not aware of the problems that DOD and other organizations have faced as the result of repeated system changes.

It was also somewhat interesting to note that, those who advocated change also failed to suggest any alternative performance appraisal technique that they would prefer. The majority of those interviewed felt that the current system could work if the inflation leveled off. They felt that it was a meaningful form and they felt comfortable with it. Two complaints by reporting officers were almost universal: (1) the attitude and comparison sections (items 15 and 16 on the current fitness report forms) should have verbal-scale numerical separation of one for each category instead of the current increment of two. (2) Most felt that to compare "their" subordinates against others was technically impossible. This bothered them. The language on the current form is very rigid in this respect, and they felt that it should be worded more realistically.

The majority of the 100 fitness reports that were analyzed did not follow the guide provided in the Personnel Manual. The reports considered by the investigators to be higher in quality had a higher number of specific comments and were the ones which most closely followed the guide provided. These reports were considered to have presented the most meaningful word pictures, of any of the reports considered. Part of this correlation can probably be attributed to the review procedures used by the district offices, in that they stress the need to more fully justify the numerical marks assigned in the event that they are very high or if they could be interpreted as unsatisfactory. Very little

emphasis is placed on a critical review of the "average" reports, in terms of ensuring that the quality and quantity of supporting narrative comments for these forms is also maintained. Only the obviously poor comments are normally returned to the reporting officer to be rewritten and resubmitted.

The implication of the foregoing facts are evident if one pauses to empathize with the potential (and often real) plight of a promotion board attempting to make selection/non-selection decisions among the last few officers in a promotion zone. Based on the numerical marks assigned to this group, they all appear to be virtually identical. One of the next logical criteria to consider then, would be the reporting officers' respective verbal support for the assigned numerical marks; however, as was previously shown, it can be expected that most of the comments will be of questionable quality and quantity also. Whereas it is true that promotion boards do have other record material to aid them in their deliberations, it appears that potentially their best tool for differentiating among these officers is of little use. It is felt that the foregoing dilemma could become more and more commonplace if fitness report mark inflation continues, and/or increases (which would result in an even tougher differentiation problem).

If the numerical marking portion of the current fitness report system is becoming less effective because of the

increasing inflationary pressures, and if there is inadequate narrative support for these inflated numbers, then what is to be done?

Based on all of the foregoing analysis, and on the literature review into the background for performance in the public and private sectors of the economy, it is the opinion of these investigators that there are three potential outcomes for officer performance appraisal in the Coast Guard:

1. Primarily due to mark inflation, the current Officer Fitness Reporting system (if unchanged) would continue to decrease in effectiveness, thus reducing officer confidence in the system, in turn probably leading to reporting officers' downright manipulation of marking distributions, and finally resulting in an overwhelming number of BCMR and/or EEO challenges to the system's "fairness and equity."
2. A new performance appraisal system could be brought in to replace the current system. Given the importance of user confidence in any appraisal system, the uncertainty costs associated with attempting to implement any new system, and the experience of the Department of Defense in their constant search for an "appropriate system," it seems unlikely that this strategy would have much appeal for top management in the Coast Guard.
3. The outcome that is most likely to succeed, in the opinion of these investigators, is one that employs a strategy of making modifications to the current Fitness

Reporting System. The intent would be to retain the inherent strengths and eliminate many of the weaknesses. This effort toward making the "accepted status quo" more viable is considered to be the best possible hedge against the ranges of potential uncertainty. In the next chapter, several modifications will be proposed in furtherance of this strategy.

VI. SUGGESTED MODIFICATIONS FOR THE CURRENT SYSTEM

For the purposes of this thesis, the investigators assumed that current efforts to reduce the inflationary trend would be, at best, successful, and at worst would not render the system immediately ineffective. That is, promotion boards and other users of the system would still be able to use it effectively without a severe loss of reliability or validity. With this assumption in mind, this chapter offers several suggestions which may increase the effectiveness of the current system which would involve only minor changes to the basic structure and intent.

A. DEVELOP BETTER DESCRIPTIVE TERMS, FOR EACH LEVEL OF PERFORMANCE AND/OR PERSONAL QUALITIES, AND ORIENT IT TO REPORTING OFFICERS' EXPECTATIONS FOR THOSE LEVELS

It was felt, based on the analysis of District Personnel Officers interviews and of the correspondence by concerned reporting officers to Coast Guard Headquarters, that:

(1) There was an expressed need for an increase to nine single increments for the Attitude and Comparison sections on the forms,

(2) There was an expressed desire for better descriptive terms on the Performance of Duties and Personal Qualities sections, and

(3) It would be desireable to eliminate or modify the inter-officer comparison requirement.

1. Change Basis of Comparison Used to Evaluate Officers

The current fitness report marking procedures require the reporting officer to make an inter-officer comparison and use that as a basis for assigning numerical grades on the evaluation. Whereas this approach is theoretically sound, it appears that this approach may not be the most practical one for the Coast Guard. There are several practical issues to be considered:

a. Any comparison made by the reporting officer is limited to his personal experience base. This issue is further complicated by the fact that there are many specialties in the Coast Guard and an officer's experience base for comparison may be severely limited by the lack of exposure to officers of specialty areas besides his own.

b. The number of officers of a particular rank assigned to an average Coast Guard unit is small and this precludes making local comparisons in conjunction with the reporting officer's experience base.

c. Data from the interviews indicates that many field officers feel that the comparison basis is technically impossible and they actually make their comparisons based on their personal expectations of what an officer of a given rank should be able to do in a given job assignment.

d. Dore Hunter (1979), a retired Coast Guard lawyer who has pleaded several cases before the BCMR, has critizied the application "of an unevenly applied numerical scale" to the evaluation of an officer's performance and personal qualities (see Chapter II). Thus, the legal uncertainties also make the current approach less practical.

In addition to the practical issues listed above, some authors have suggested that an evaluation based on the evaluator's personal expectations may be more valid for a judgement-based system such as the one used by the Coast Guard [Keeley, 1978]. As discussed in the beginning of

Chapter V, a contingency approach coupled with personal expectations and a person-process-product model may provide a more realistic basis for evaluating Coast Guard officers. In fact, it is felt that because these personal expectations of the reporting officer would be culturally based to a large extent, the resultant expectations would reflect service norms. This is what the Personnel Manual stresses as a goal in the evaluation of officers, and would therefore be an added benefit.

2. Proposed Verbal Scales for Officer Fitness Report Forms

Based on the foregoing, the following verbal scale descriptions shifts the basis for comparison of officers to that of the reporting officer's expectations, and they also incorporate the concept of providing nine distinct rating scale increments for each of the four rated items on the forms. Each of the suggested verbal scales would replace their present counterparts on the current forms, i.e., "Performance of Duties" (section 14), "Attitude" (section 15), "Comparison" (section 16), and "Personal Qualities" (section 17). The actual verbal scales (that would be printed on the forms) are typed in all caps. The explanations that follow each of the elements of the verbal scales would appear in the appropriate chapter of the Coast Guard Personnel Manual and/or any supplementary guidance or instructions that were issued.

a. Verbal Scale for the Performance of Duties/ Personal Qualities (Sections 14 and 17)

9: OUTSTANDING IN ALL RESPECTS: far exceeds reporting officer's expectations in all respects for all assigned tasks. Truly exceptional in comparison to their contemporaries. Should be seriously considered for formal recognition and/or award if this level of demonstrated ability is sustained.

8: EXCELLENT/OFTEN OUTSTANDING: consistently exceeds reporting officer's normal expectations for an officer of this rank and time in grade and service, and often far exceeds these expectations.

7: EXCELLENT/EXCEEDS EXPECTATIONS: consistently exceeds reporting officer's normal expectations for an officer of this rank and time in grade and service.

6: VERY GOOD & OFTEN EXCELLENT: consistently meets reporting officer's expectations, and often exceeds them.

5: VERY GOOD & FULLY QUALIFIED: consistently meets reporting officer's expectations. Fully qualified in all respects for current assignement.

4: GOOD & OFTEN VERY GOOD: usually meets all of reporting officer's expectations. Minimally qualified in all respects for current assignment.

3: GOOD IN ALMOST ALL ASPECTS: meets majority of reporting officer's minimum standards for an officer in this current assignment.

2: SATISFACTORY: acceptable for continued assignment under this reporting officer only if the best interests of the service dictate.

1: UNSATISFACTORY: well below minimum acceptable standards and expectations of reporting officer.

b. VERBAL SCALES FOR ATTITUDE SECTION (Section 15)

As reporting officer, indicate the value of this officer's personal qualities and ability to get the job done (when working with you and with others above you in the chain of command).

9: OUTSTANDING ASSET TO ME: Although no one is absolutely indispensable this officer comes very close. Handles highly challenging situations as well and occasionally perhaps better than I might have. Possesses outstanding interpersonal skills with subordinates, peers, and with superiors, both within, and external to the chain-of-command.

8. HIGHLY DESIRABLE ASSET TO ME: Handles challenging situations very well. Possesses excellent interpersonal skills when working with subordinates, peers, and with superiors in the chain-of-command. Occasionally demonstrates outstanding qualities.

7: PREFERRED TO MOST OFFICERS AVAILABLE: Handles normal situations and an occasional challenging situation in a consistently professional manner. A reliable and effective officer in his/her working relationships with others and with me.

6: OFFICER IS A VALUED OFFICER TO ME: Handles normal situations well and is predictably effective with the majority of subordinate peers, and with me.

5: I'M PLEASED TO HAVE THIS OFFICER HERE: Usually handles normal situations well. Normally works well with others and in an acceptable manner with me.

4: A DEPENDABLE AND RELIABLE OFFICER: Handles normal situations in an acceptable manner and occasionally in an above average manner. Normally works in an acceptable manner with others.

3: BE SATISFIED TO HAVE THIS OFFICER: Usually capable of handling normal job situations with minimum of guidance. Capable of working with others.

2: WOULD ACCEPT THIS OFFICER: Seems capable of handling normal job requirements if supervised. I will continue to accept this officer if considered in the best interests of the service.

1: PREFER NOT TO HAVE THIS OFFICER: For reasons to be detailed in the comments section, it is my considered opinion that this officer should not continue in their assignment here. (UNSATISFACTORY)

c. VERBAL SCALES FOR COMPARISON SECTION (Item 16)

In comparison with other officers that you have known and/or worked with, possessing similar time in grade and service, similar backgrounds in training and experience, and challenged by similar job expectations, this officer (is):

9: ONE OF THE FEW HIGHLY OUTSTANDING OFFICERS I KNOW: Consistently far exceeds my expectations in all categories of performance and personal qualities. Rarely, if ever, have I known and/or worked with an officer possessing these traits and demonstrated abilities.

8: FREQUENTLY OUTSTANDING & CONSISTENTLY EXCEEDS ALL OF MY EXPECTATIONS: Consistently exceeds my expectations in all categories of performance and personal qualities. Frequently performs in an outstanding manner.

7: CONSISTENTLY EXCEEDS ALL MY P/PQ EXPECTATIONS:

6: FREQUENTLY EXCEEDS & CONSISTENTLY MEETS ALL OF MY P/PQ EXPECTATIONS:

5: CONSISTENTLY MEETS MOST OF MY P/PQ EXPECTATIONS:

4: FREQUENTLY MEETS MOST OF MY P/PQ EXPECTATIONS:

3: SATISFACTORY IN MEETING MINIMUM P/PQ EXPECTATIONS: Appears to have potential.

2: MARGINAL IN MOST RESPECTS: Should be considered for reassignemnt for a remedial/developmental plan.

1: UNSATISFACTORY IN MOST RESPECTS: Should be counseled by higher authority to determine potential for continuation in active service.

d) New Descriptive Phrases for Forms

VERBAL SCALE FOR THE PERFORMANCE OF DUTIES AND PERSONAL QUALITIES (Items 14 and 17)

9	8	7	6	5	4	3	2	1
OUTSTANDING IN ALL RESPECTS	EXCELLENT OFTEN OUTSTANDING	EXCELLENT EXCEEDS EXPECTATIONS	VERY GOOD & OFTEN EXCELLENT	VERY GOOD & FULLY QUALIFIED	GOOD & OFTEN VERY GOOD	GOOD IN ALMOST ALL ASPECTS	SATISFACTORY	UNSATISFACTORY

VERBAL SCALE FOR ATTITUDE SECTION

9	8	7	6	5	4	3	2	1
OUTSTANDING ASSET TO ME	HIGHLY DESIRABLE ASSET TO ME	PREFERRED TO MOST OFFICERS AVAILABLE	OFFICER IS A VALUED ASSET TO ME	I'M PLEASED TO HAVE THIS OFFICER HERE	A DEPENDABLE & RELIABLE OFFICER	BE SATISFIED TO HAVE THIS OFFICER	WOULD ACCEPT THIS OFFICER	PREFER NOT TO HAVE THIS OFFICER (UNSAT.)

VERBAL SCALE FOR COMPARISON SECTION

9	8	7	6	5	4	3	2	1
ONE OF THE FEW HIGHLY	FREQUENTLY OUTSTANDING	CONSISTENTLY	FREQUENTLY EXCEEDS &	CONSISTENTLY	FREQUENTLY MEETS	SATISFACTORY IN	MARGINAL IN MOST	UNSATISFACTORY IN

EVELOP A SUGGESTED GUIDE FOR EXPLICITLY REQUIRED
OMMENTS OF REPORTING OFFICERS

ased on the analysis in the foregoing chapter and the
sted changes to the verbal scales in the preceeding
on, which would shift the emphasis to the use of the
ting officer's level of performance expectations, it is
that the comments provided in support of the numerical
s assigned should also be oriented toward expected levels
rformance. Additionally, it is felt that a structured
tive would increase the likelihood of the fitness reports
ng more consistent information, to be derived from
ring all reporting officers to comment on specific topics
e comments section of fitness reports. One of the
drawbacks associated with any narrative-based information
e skill of the person preparing the report. It is felt
the requirement to address a set of very specific per-
nce variables would alleviate this problem to some
e.

he following suggested guide, for explicit support comments
would be required of reporting officers, could be inclu-
s a supplement to, or directly in, the appropriate
er of the Coast Guard Personnel Manual, CG-207. It
ranged in an order that follows the logical start-to-
n progression of the present fitness report.

Job Information

Fully describe in concise narrative the performance
ted of the billet incumbent. Utilize measurable standards

if applicable. Indicate the more important aspects of the job and distinguish them from the rest of the performance factors. Even the same job over time will change, and circumstances which make each reporting period unique should be listed and explained.

2. Leadership

Leadership is one of the most important determinants affecting the behavior and performance of a group of individuals on the job. In evaluating the leadership skills of an individual, the other relevant job performance factors must be carefully analyzed so that the interaction between the subordinate's leadership and these other factors can be placed in perspective for the report. When properly done, this will allow any reader to understand what the circumstances were during the period and what effect the subordinate had in terms of effectiveness. The focus, then, is performance outcomes as a result of the individual's knowledge, skills, and efforts. Additionally, the expected level of performance is key and must be explicitly included in the narrative comments. With all of the foregoing in mind, describe the individual's efforts and results. For instance: what leadership methods were used; is delegation used effectively; have subordinates been allowed and encouraged to make significant contributions to the unit's efforts; does this person communicate well with subordinates and operate effectively with other work groups? Your comments should be directed toward what would be normally expected.

3. Achievements

What was achieved through this individual's efforts, directly and indirectly, and how do they compare with what was expected? Both quantity and quality should be explicitly discussed relative to expectations and outcomes. Measures of effectiveness and efficiency vary considerably across jobs and specialties, and the achievements discussed should be related to these issues directly.

4. Planning and Organization

Are responsibilities carried out in a sound logical manner? Does the function operate in a smooth, well-organized way? Are activities planned ahead of time and commitments met? How well do plans align with the local objectives?

5. Judgement and Professional Knowledge

Is this individual aware of operating problems? Are decisions well thought out and discussed adequately? Are solutions to problems logically pursued? Does the officer display mature judgement? Is the individual's level of professional knowledge adequate? Is it used effectively? Can you rely on the individual to make the right decision? Are mistakes acknowledged and an attempt made to learn from them?

6. Summary Remarks

Summarize the above information and include any additional information which will help fill in the complete picture of the individual under consideration. These might include self-improvement efforts, growth in the job and

professionally, and any other information which may not have been directly associated with the assigned tasks but are still considered important in terms of presenting an overall description of the individual being reported on, particularly vis-a-vis suitability for promotion. Again, all your comments should be directed towards outcomes with respect to what was expected. This section should round out and integrate the narrative so that a complete word picture is presented in each report.

C. DEVELOP AND PROVIDE AN OPTIONAL PERFORMANCE FEEDBACK COUNSELING GUIDE TO EVERY POTENTIAL COAST GUARD REPORTING OFFICER

In Chapter II, it was noted that the literature strongly recommended keeping performance appraisal programs and developmental programs separate, as well as the necessary counseling associated with each. Since feedback counseling in conjunction with fitness reports has now been made optional in the Coast Guard, in order to assist reporting officers who may lack experience and knowledge with respect to counseling subordinates with respect to performance, it is suggested that a performance feedback counseling guide be developed and provided to all potential reporting officers in the Coast Guard to be utilized on an optional basis. Such a guide would include a suggested outline for developing non-record programs if reporting officers felt a need to do so. There are several methods available such as critical incident, etc.

It is felt that a portion of the Coast Guard's Leadership School curriculum could be used as a basis for developing a counseling guide. The appropriate chapter from the Leadership School curriculum is included as Appendix G.

D. IMPROVE EFFICIENCY AND EFFECTIVENESS OF ROF SYSTEM

One of the complaints most often mentioned during the interviews conducted by these investigators, as well as the ones conducted during the June 1978 Headquarters interviews, was that the time required to get the data, dervied from the current Reporting Officer Feedback (ROF) system, back to the reporting officer, is too slow, i.e., the ROF data was not being reported back to the reporting officers before the end of the next-following semiannual reporting period. For this control system to be really efficient, the throughput, or turnaround time should be improved, in such a way as to provide ROF data, back to reporting officers, prior to the time that they complete their next required series of reports (i.e., within six months). The purpose of the ROF report is to aid in the standardization of marking behavior; therefore, the currency of the data is of primary importance.

ROF data should be provided, in the future, for all four "marked" sections (i.e., sections 14 through 17 on the current fitness report form). The current ROF system only provides data back to reporting officers for sections 14, performance of duties, and 17, personal qualities. This would provide reporting officers with all of the actual-distribution-of-marks

data, informing them of their "complete ROF picture." The ROF information should be broken down and separated by rank, rather than the current approach, which aggregates data for each reporting officer.

An explicit policy statement, from Headquarters to the field, should be promulgated concerning whether or not future promotion boards will have access to the ROF system data base. In that this information can be used to identify "hard markers" and "easy markers", a specific policy statement is needed.

VII. SUMMARY, CONCLUSIONS AND RECOMMENDATIONS

Most of the proposals found in the performance appraisal literature were developed by academics, not practitioners. These theories are necessary and helpful in terms of increasing knowledge and insight with respect to the problems associated with evaluating performance. The conflicting needs of the organization and the individual are difficult to resolve and they are highly situational in nature. In order to maintain any performance appraisal system at a reasonably useful level of effectiveness, the user must understand both its strengths and weaknesses. Furthermore, the user must have a reasonable level of confidence in the system, otherwise the information output becomes distorted and decreases the system's effectiveness. Designing performance appraisal systems, therefore, must be accomplished by combining proposals in the literature with a thorough analysis of the realities of the culture of the Coast Guard.

Based on the foregoing analysis of the Coast Guard's fitness reporting system and the performance appraisal literature, it is felt that every effort should be made to increase the effectiveness of the Coast Guard's current fitness reporting system and its credibility with the users in the field. This will be a demanding task. With the current level of inflation and other factors exerting an increasing amount of pressure for change, proposed solutions and

corrective action must be directed towards increasing the credibility with the system users through a set of strategies designed to neutralize the overreliance on numerical information for decision making. While organizations larger than the Coast Guard would have more difficulty with this strategy, it is felt that the Coast Guard is small enough to allow the promotion boards to consider the more qualitative information contained in its fitness report system now in use. In order to facilitate this process, it has been proposed that the verbal comments standards be expanded. This can be accomplished by specifying a series of topics to comment on for every fitness report. These topics are anchored by the level of expectations the reporting officer has for the performance and personal qualities of his subordinates. This concept forces the reporting officer to be more specific in terms of evaluation and should provide the system's users with an enhanced verbal frame of reference which is felt to be more realistic and useful than the officer-to-officer comparison method currently being used. There is only modest empirical support for this opinion. The review of the fitness reports did indicate that the reports which used this kind of approach appeared to present a better word picture of the person being reported on. Since the major criteria for the current system are based on comparisons, this methodology would make the comparisons more explicit and more meaningful. It is suggested that further research by the

Coast Guard test the viability of this approach. A field experiment could provide data by which this proposal would be compared with the existing system for evaluation. Regardless of whether or not these structured verbal descriptions are adopted, some methodology should be adopted which increases the quantity and uniformity of the information contained in the comments section of the current forms.

District reviewing procedures should diffuse the review emphasis to all of the reports, not just the high and low reports. The reports "in the middle" (based upon numerical information) are the ones which could end up in a promotion board's "gray" zone, where the increased information provided by the narrative statements is most critical.

There are not many incentives for reporting officers to be as objective with their performance evaluations as the organization would like them to be. The only control mechanism is the ROF system, which is informational in nature. If this system is to be made more effective, it must be easier to understand, and issued in a more timely fashion.

Whatever performance appraisal strategy is decided upon, it should be closely coordinated with all field commanders, so that policies are consistent throughout the service. Continual feedback and problem-solving dialogue would enhance this process. The issues pertaining to numerical distributions and the quality of the narrative information should be dealt with in a completely open manner lest rumor override reality.

APPENDIX A
SAMPLES OF TYPES OF PERFORMANCE APPRAISAL FORMS ANALYZED IN THIS THESIS

DEPARTMENT OF TRANSPORTATION U. S. COAST GUARD CG-4328C (Rev. 10-78)	REPORT ON THE FITNESS OF CAPTAINS AND COMMANDERS	REPORTS CONTROL SYMBOL G-PO-5072

THE OFFICER REPORTED ON WILL COMPLETE THE FIRST TWELVE SECTIONS

1. NAME (Last, First, Middle)	2. GRADE	3. YEARS IN GRADE	4. STATUS INDICATOR	5. SERVICE NO.

6. UNIT NAME AND OPFAC NO.	7. DATE REPORTED PRESENT UNIT	8. SOCIAL SECURITY NO.

9. TYPE OF REPORT	10. OCCASION FOR REGULAR REPORT				11. PERIOD OF REPORT
SPECIAL ☐ REGULAR ☐ CONCURRENT ☐	SEMI-ANNUAL ☐	DETACHMENT OF REPTO. OFFICER ☐	DETACHMENT OF OFFICER ☐	PROMOTION OF OFFICER ☐	FROM TO

12. ASSIGNMENT (Provide a brief resume of your assignment during this reporting period. Personal or official reports of possible use to the reporting officer in evaluating your performance may be attached but should not be referenced. Include all periods in a TCS travel status. *See Personnel Manual 10-A-10.*)
Days on TAD All other days not present for duty

SIGNATURE OF OFFICER REPORTED ON

FOLLOWING TO BE FILLED IN BY REPORTING OFFICER

13. PERFORMANCE INFORMATION CONSIDERED IN COMPLETING THIS REPORT

a. INFORMATION: Indicate for each method of appraisal used the quality of performance information considered in completing this report by marking an X in the appropriate marking box of each row.

	QUALITY OF INFORMATION (Consider the frequency, relevancy, accuracy and scope of information.)			
	VERY GOOD	GOOD	LIMITED	NO SIGNIFICANT INFORMATION
(1) Direct personal observation of the officer reported on and his accomplishments.				
(2) Indirect knowledge of officer reported on through written or oral reports.				

b. DOCUMENTATION: Append reports of outstanding or unsatisfactory performance and reference them in this space. Avoid extraneous material. *(See Personnel Manual 10-A-4.)*

14. PERFORMANCE OF DUTIES *(In comparison with other officers with similar length of service in grade, consider the requirements of his position and evaluate his performance.)*

PERFORMANCE FACTORS	NOT OBSERVED	OUTSTANDING PERFORMANCE. DEMONSTRATES UNUSUAL ABILITY TO FILL POSITIONS OF HIGHEST RESPONSIBILITY AND AUTHORITY. MOST HIGHLY QUALIFIED.		EXCELLENT PERFORMANCE IN MOST ASPECTS OF HIS POSITION. FREQUENTLY DEMONSTRATES OUTSTANDING PERFORMANCE. WELL QUALIFIED TO FILL POSITIONS OF HIGHEST RESPONSIBILITY AND AUTHORITY.		VERY GOOD PERFORMANCE IN MOST ASPECTS OF HIS POSITION. FREQUENTLY DEMONSTRATES EXCELLENT PERFORMANCE. HIGHLY QUALIFIED FOR HIS PRESENT POSITION.		GOOD PERFORMANCE IN MOST ASPECTS OF HIS POSITION. FREQUENTLY DEMONSTRATES VERY GOOD PERFORMANCE		UNSATISFACTORY PERFORMANCE
a. Primary Duty		9	8	7	6	5	4	3	2	1
b. Management and Planning		9	8	7	6	5	4	3	2	1
c. Speaking Ability		9	8	7	6	5	4	3	2	1
d. Accomplishments		9	8	7	6	5	4	3	2	1
e. Government/Inter-Service/ Public Relations		9	8	7	6	5	4	3	2	1
f. Overall Performance Composite of a. thru e.		9	8	7	6	5	4	3	2	1
g. Desired distribution of marks in f.		25%	40%	20%			15%			

15. ATTITUDE *(Indicate your attitude toward having this officer under your command.)*

PARTICULARLY DESIRE TO HAVE HIM 9 ☐	PREFER HIM TO MOST 7 ☐	BE PLEASED TO HAVE HIM 5 ☐	BE SATISFIED TO HAVE HIM 3 ☐	PREFER NOT TO HAVE HIM (UNSATISFACTORY) 1 ☐

16. COMPARISON *(In comparison with other officers of his grade, how would you designate this officer?)*

THE VERY BEST I KNOW 9 ☐	ONE OF THE FEW HIGHLY OUTSTANDING OFFICERS I KNOW 7 ☐	A VERY FINE OFFICER OF GREAT VALUE TO THE SERVICE 5 ☐	A DEPENDABLE AND TYPICALLY EFFECTIVE OFFICER 3 ☐	IS NOT QUALIFIED AT HIS LEVEL (UNSATISFACTORY) 1 ☐

Previous editions are obsolete

SN-7530-00-FO1-7140

CG-4336C (Revised)

17. PERSONAL QUALITIES *(In comparison with other officers with similar length of service in this grade, to what degree has this officer exhibited the following qualities?)*	NOT OBSERVED	OUTSTANDING		EXCELLENT		VERY GOOD		GOOD		UNSATISFACTORY
a. **LEADERSHIP** Ability to plan, direct and guide the development and operation of the service, ability to solve complex problems at highest management through proper use of staff and facilities.		9	8	7	6	5	4	3	2	1
b. **HUMAN RELATIONS** Ability to establish good relations with the highest levels of national, local and service leadership, ability and poise in meeting social and ceremonial obligations, interest in the personal welfare and development of subordinates, interest in service policies and programs having to do with equal opportunity, individual welfare and development; ability to lead in a humane, cooperative and morally responsible manner.		9	8	7	6	5	4	3	2	1
c. **PROFESSIONAL KNOWLEDGE** Knowledge of the service, its roles and missions, knowledge of the command to which he is assigned, knowledge of the service's relationship with international, national, state and local governments, other armed services and federal agencies, private industry and unions and with various other organizations with which he may have to deal.		9	8	7	6	5	4	3	2	1
d. **JUDGMENT** Ability to recognize and select the important problems for action, ability to combine intelligence, knowledge, a sense of the possible and a sense of the practical in guiding the management of the service.		9	8	7	6	5	4	3	2	1
e. **FORCE** Proper control of positive motivation, moral courage, loyalty to superiors and subordinates, loyalty to service and country, ability to take initiative, courage of his convictions but willingness to abide by and live with official decisions that run counter to his own.		9	8	7	6	5	4	3	2	1
f. **INITIATIVE** Motivated to increase the Coast Guard's contributions to the nation by introducing and implementing worthwhile ideas, innovations and new developments, both his own and those of subordinates. Ability to follow through and control the direction rate and effect of actions which he has initiated.		9	8	7	6	5	4	3	2	1
g. Overall evaluation of personal qualities Composite of a. through f.		9	8	7	6	5	4	3	2	1
h. Desired distribution of marks in item g.		25%	40%	20%		15%				

18. COMMENTS *(In this section a general appraisal of the officer should be developed which will integrate and round out the evaluations made elsewhere on this form. Indicate any notable accomplishments including original and constructive professional work. A specific comment addressing the performance of EEO responsibilities is required in this section (See COMDTINST 5354.1 series).*

19. I have marked this officer in accordance with the DESIRED distributions in sections 14g. and 17h.

Signature of Reporting Officer

20. What has been the trend of his performance since your last report?

FIRST REPORT ☐ IMPROVING ☐ STEADY ☐ DECLINING ☐

21. If any unsatisfactory mark or written comment of unsatisfactory performance is included in this report, check here. ☐ If so, it must be referred to the officer reported on for written comment and his comments attached to this report.

OFFICER	DATE	SIGNATURE	GRADE	SERVICE NO./SSN	TITLE OF POSITION
22. PREPARING					
23. REPORTING					
24. REVIEWING					

CONCUR ☐ COMPLETENESS ONLY ☐ COMMENTS ATTACHED ☐

GPO : 1978 O - 278-845

DEPARTMENT OF TRANSPORTATION
U.S. COAST GUARD
CG-4[illegible]B(Rev. 10-78)

REPORT ON THE FITNESS OF LIEUTENANT COMMANDERS AND CHIEF WARRANT OFFICERS (W-4)

REPORTS CONTROL SYMBOL
G-PO-5072

THE OFFICER REPORTED ON WILL COMPLETE THE FIRST TWELVE SECTIONS

1. NAME (Last, First, Middle)	2. GRADE	3. YEARS IN GRADE	4. STATUS INDICATOR	5. SERVICE NO.

6. UNIT NAME AND OPFAC NO.	7. DATE REPORTED PRESENT UNIT	8. SOCIAL SECURITY NO.

9. TYPE REPORT: REGULAR [ ] SPECIAL [ ]

10. OCCASION FOR REGULAR REPORT: ANNUAL [ ] DETACHMENT OF REPORTED OFFICER [ ] DETACHMENT OF OFFICER [ ] PROMOTION OF OFFICER [ ]

11. PERIOD OF REPORT: FROM TO

12. DUTIES *(List primary duties, briefs, and watches and collateral duties. Indicate, after each, time spent in months during the reporting period. If assignment involves duties and watch schedules, give outline of purpose, scope and significance of such duties. If necessary, use separate sheet. Personal or official reports of possible use to the reporting officer in evaluating your performance may be attached but should not be referenced. Include all periods in a PCS travel status. See Personnel Manual 10-A-10.)* Days on TAD _____ All other days not present for duty _____

SIGNATURE OF OFFICER REPORTED ON

FOLLOWING TO BE FILLED IN BY REPORTING OFFICER

13. PERFORMANCE INFORMATION CONSIDERED IN COMPLETING THIS REPORT

a. INFORMATION: *Indicate for each method of appraisal used the quality of performance information considered in completing this report by marking an X in the appropriate marking box of each row.*

	QUALITY OF INFORMATION *(Consider the frequency, relevance, accuracy and scope of information.)*			
	VERY GOOD	GOOD	LIMITED	NO SIGNIFICANT INFORMATION
(1) Direct personal observation of the officer reported on and his accomplishments.				
(2) Indirect knowledge of officer reported on through written or oral reports.				

b. DOCUMENTATION: Append reports of outstanding or unsatisfactory performance and reference them in this space. Avoid extraneous material. *(See Personnel Manual 10-A-4.)*

14. PERFORMANCE OF DUTIES. *(In comparison with other officers with similar length of service in his grade, consider the requirements of his position and evaluate his performance.)*

PERFORMANCE FACTORS	NOT OBSERVED	OUTSTANDING PERFORMANCE	EXCELLENT PERFORMANCE IN MOST ASPECTS OF HIS POSITION. FREQUENTLY DEMONSTRATES OUTSTANDING PERFORMANCE. WELL QUALIFIED TO FILL POSITIONS OF HIGHEST RESPONSIBILITY AND AUTHORITY.		VERY GOOD PERFORMANCE IN MOST ASPECTS OF HIS POSITION. FREQUENTLY DEMONSTRATES EXCELLENT PERFORMANCE. HIGHLY QUALIFIED FOR HIS PRESENT POSITION.		GOOD PERFORMANCE IN MOST ASPECTS OF HIS POSITION. FREQUENTLY DEMONSTRATES VERY GOOD PERFORMANCE.		SATISFACTORY PERFORMANCE	UNSATISFACTORY PERFORMANCE
a. Primary Duty		9	8	7	6	5	4	3	2	1
b. Specialty [ ] Subspecialty [ ] Other [ ]		9	8	7	6	5	4	3	2	1
c. Collateral Duties specified in Section 12, above		9	8	7	6	5	4	3	2	1
d. Management Effectiveness *(Use of men, money and materials)*		9	8	7	6	5	4	3	2	1
e. Ability to speak		9	8	7	6	5	4	3	2	1
f. Ability to write		9	8	7	6	5	4	3	2	1
g. Overall performance *(Composite of Items a. thru f.)*		9	8	7	6	5	4	3	2	1
h. Desired distribution of marks in g.		20%	40%	25%	15%					

15. ATTITUDE *(Indicate your attitude toward having this officer under your command.)*

PARTICULARLY DESIRE TO HAVE HIM 9 [ ] PREFER HIM TO MOST 7 [ ] BE PLEASED TO HAVE HIM 5 [ ] BE SATISFIED TO HAVE HIM 3 [ ] PREFER NOT TO HAVE HIM (UNSATISFACTORY) 1 [ ]

16. COMPARISON *(In comparison with other officers of his grade how would you designate this officer?)*

ONE OF THE FEW HIGHLY OUTSTANDING OFFICERS I KNOW 9 [ ] A VERY FINE OFFICER OF GREAT VALUE TO THE SERVICE 7 [ ] A DEPENDABLE AND TYPICALLY EFFECTIVE OFFICER 5 [ ] AN ACCEPTABLE OFFICER 3 [ ] UNSATISFACTORY 1 [ ]

Previous Editions are Obsolete

SN: 7530-00-FO1-7130

CG-4128 (Reverse)

17. PERSONAL QUALITIES *(In comparison with other officers with similar length of service in his grade, to what degree has this officer exhibited the following qualities?)*	NOT OBSERVED	OUTSTANDING	EXCELLENT		VERY GOOD		GOOD		SATISFACTORY	UNSATISFACTORY
a. **LEADERSHIP** Ability to accomplish assigned missions, goals and objectives; ability to improve overall operation through appropriate assignment and coordination of human and material resources, priorities and emphasis of effort; ability to make or withhold decisions as appropriate under trying circumstances; integrity of purpose and character; ability to inspire confidence; ability to recognize and carry out his equal opportunity responsibilities.		9	8	7	6	5	4	3	2	1
b. **HUMAN RELATIONS** Ability to cooperate and establish good relations with the public and with others both military and civilian with whom he must work and live; ability to lead in a humane, impartial, cooperative, and morally responsible manner; ability to teach and help subordinates develop their full potential; ability to give appropriate rewards or discipline to subordinates; ability to keep morale high.		9	8	7	6	5	4	3	2	1
c. **PROFESSIONAL KNOWLEDGE** Knowledge of the service, knowledge of his specialty and subspecialty, knowledge of goals, missions, objectives and administration of the command to which he assigned, knowledge of local government and various organizations with which he may have to deal.		9	8	7	6	5	4	3	2	1
d. **JUDGMENT** Ability to use his knowledge and training in solving both technical and practical problems; ability to distinguish between problems which require exact and unique solutions and those problems which can be solved with approximate solutions or which have multiple solutions; ability to distinguish between problems whose solutions are primarily based on ethical or traditional criteria versus technical or more objective criteria.		9	8	7	6	5	4	3	2	1
e. **FORCE** Proper control of positive motivation, moral courage; loyalty to superiors and subordinates; loyalty to service and country; ability to take initiative; courage of his convictions but willingness to abide by and live with official decisions that run counter to his own.		9	8	7	6	5	4	3	2	1
f. **INITIATIVE** Motivated to make his unit and the Coast Guard the best possible by developing, adapting and implementing worthwhile ideas, innovations and new developments, especially in his specialty area. Strives to engender, in his subordinates, qualities of initiative and a willingness to accept change.		9	8	7	6	5	4	3	2	1
g. Overall evaluation of personal qualities. Composite of a. through f.		9	8	7	6	5	4	3	2	1
h. Desired distribution marks in item g.		20%	40%	25%	15%					

18. **COMMENTS** *(In this section a general appraisal of the officer should be developed which will integrate and round out the evaluation made elsewhere on this form. Indicate any notable accomplishments including original and constructive professional work.)* A specific comment addressing the performance of EEO responsibilities is required in this section (See COMDTINST 5354.2 series)

19. I have marked this officer in accordance with the DESIRED distributions in sections 14h. and 17h.

Signature of Reporting Officer

20. What has been the trend of his performance since your last report?

FIRST REPORT [ ] IMPROVING [ ] STEADY [ ] DECLINING [ ]

21. If any unsatisfactory mark or written comment of unsatisfactory performance is included in this report, check here. [ ] If so, it must be referred to the officer reported on for written comment and his comments attached to this report.

OFFICER	DATE	SIGNATURE	GRADE	SERVICE NO./SSN	TITLE OF POSITION
22. PREPARING					
23. REPORTING					
24. REVIEWING					

CONCUR [ ] COMPLETENESS ONLY [ ] COMMENTS ATTACHED [ ]

U. S. GOVERNMENT PRINTING OFFICE : [illegible]

DEPARTMENT OF TRANSPORTATION
U. S. COAST GUARD
CG-4312B 1 (Rev 10-78)

REPORT ON THE FITNESS OF LIEUTENANTS AND CHIEF WARRANT OFFICERS (W-3)

REPORTS CONTROL SYMBOL
G-PO-5072

THE OFFICER REPORTED ON WILL COMPLETE THE FIRST TWELVE SECTIONS

1. NAME (Last, First, Middle)	2. GRADE	3. YEARS IN GRADE	4. STATUS INDICATOR	5. SERVICE NO.

6. UNIT NAME AND DMAAC NO.	7. DATE REPORTED PRESENT UNIT	8. SOCIAL SECURITY NO.

9. TYPE REPORT	10. OCCASION FOR REGULAR REPORT	11. PERIOD OF REPORT
REGULAR [ ] SPECIAL [ ] CONCURRENT [ ]	SEMI-ANNUAL [ ] DETACHMENT OF REPTG. OFFICER [ ] DETACHMENT OF OFFICER [ ] PROMOTION OF OFFICER [ ]	FROM TO

12. DUTIES *(List primary duties first, additional duties and collateral duties. Indicate after each, time spent in months during the reporting period. If assignment involves duties and will establish brief, give outline of purpose, scope and significance of such duties. If necessary, use separate sheet. Personal or official reports of possible use to the reporting officer in evaluating your performance may be attached but should not be referenced. Include all periods in a PCS travel status. See Personnel Manual 10-A-10.)* Days on TAD _____ All other days not present for duty _____

SIGNATURE OF OFFICER REPORTED ON

FOLLOWING TO BE FILLED IN BY REPORTING OFFICER

13. PERFORMANCE INFORMATION CONSIDERED IN COMPLETING THIS REPORT

a. INFORMATION: Indicate for each method of appraisal used the quality of performance information considered in completing this report by marking an X in the appropriate marking box of each row.

	QUALITY OF INFORMATION *(Consider the frequency, relevancy, accuracy and scope of information.)*			
	VERY GOOD	GOOD	LIMITED	NO SIGNIFICANT INFORMATION
(1) Direct personal observation of the officer reported on and his accomplishments.				
(2) Indirect knowledge of officer reported on through written or oral reports.				

b. DOCUMENTATION: Append reports of outstanding or unsatisfactory performance and reference them in this space. Avoid extraneous material. *(See Personnel Manual 10-A-4.)*

14. PERFORMANCE OF DUTIES. *(In comparison with other officers with similar length of service in his grade, consider the requirements of his position and evaluate his performance.)*

PERFORMANCE FACTORS	NOT OBSERVED	OUTSTANDING PERFORMANCE	EXCELLENT PERFORMANCE IN MOST ASPECTS OF HIS POSITION. FREQUENTLY DEMONSTRATES OUTSTANDING PERFORMANCE. WELL QUALIFIED TO FILL POSITIONS OF HIGHEST RESPONSIBILITY AND AUTHORITY.		VERY GOOD PERFORMANCE IN MOST ASPECTS OF HIS POSITION. FREQUENTLY DEMONSTRATES EXCELLENT PERFORMANCE. HIGHLY QUALIFIED FOR HIS PRESENT POSITION.		GOOD PERFORMANCE IN MOST ASPECTS OF HIS POSITION. FREQUENTLY DEMONSTRATES VERY GOOD PERFORMANCE.		SATISFACTORY PERFORMANCE	UNSATISFACTORY PERFORMANCE
a. Primary Duty		9	8	7	6	5	4	3	2	1
b. Specialty [ ] Subspecialty [ ] Other [ ]		9	8	7	6	5	4	3	2	1
c. Collateral Duties specified in Section 12, above		9	8	7	6	5	4	3	2	1
d. Management Effectiveness *(Use of men, money and materials)*		9	8	7	6	5	4	3	2	1
e. Ability to speak		9	8	7	6	5	4	3	2	1
f. Ability to write		9	8	7	6	5	4	3	2	1
g. Overall performance *(Composite of items a. thru f.)*		9	8	7	6	5	4	3	2	1
h. Desired distribution of marks in g.		15%	40%	30%	15%					

15. ATTITUDE *(Indicate your attitude toward having this officer under your command.)*

PARTICULARLY DESIRE TO HAVE HIM 9 [ ] — PREFER HIM TO MOST 7 [ ] — BE PLEASED TO HAVE HIM 5 [ ] — BE SATISFIED TO HAVE HIM 3 [ ] — PREFER NOT TO HAVE HIM (UNSATISFACTORY) 1 [ ]

16. COMPARISON *(In comparison with other officers of his grade how would you designate this officer?)*

ONE OF THE FEW HIGHLY OUTSTANDING OFFICERS I KNOW 9 [ ] — A VERY FINE OFFICER OF GREAT VALUE TO THE SERVICE 7 [ ] — A DEPENDABLE AND TYPICALLY EFFECTIVE OFFICER 5 [ ] — AN ACCEPTABLE OFFICER 3 [ ] — UNSATISFACTORY 1 [ ]

Previous Editions are Obsolete

SN-7530-01-GF2-6640

CG-4328B-1 (Reverse)

17. PERSONAL QUALITIES *(In comparison with other officers with similar length of service in his grade, to what degree has this officer exhibited the following qualities?)*	NOT OBSERVED	OUTSTANDING	EXCELLENT		VERY GOOD		GOOD		SATISFACTORY	UNSATISFACTORY
a. **LEADERSHIP** Ability to accomplish assigned missions, goals and objectives, ability to improve overall operation through appropriate assignment and coordination of human and material resources, priorities and emphasis of effort, ability to make or withhold decisions as appropriate under trying circumstances, integrity of purpose and character; ability to inspire confidence; ability to recognize and carry out his equal opportunity responsibilities.		9	8	7	6	5	4	3	2	1
b. **HUMAN RELATIONS** Ability to cooperate and establish good relations with the public and with others both military and civilian with whom he must work and live, ability to lead in a humane, impartial, cooperative, and morally responsible manner, ability to teach and help subordinates develop their full potential; ability to give appropriate rewards or discipline to subordinates; ability to keep morale high.		9	8	7	6	5	4	3	2	1
c. **PROFESSIONAL KNOWLEDGE** Knowledge of the service, knowledge of his specialty and subspecialty, knowledge of goals, missions, objectives and administration of the command to which he assigned, knowledge of local government and various organizations with which he may have to deal.		9	8	7	6	5	4	3	2	1
d. **JUDGMENT** Ability to use his knowledge and training in solving both technical and practical problems, ability to distinguish between problems which require exact and unique solutions and those problems which can be solved with approximate solutions or which have multiple solutions, ability to distinguish between problems whose solutions are primarily based on ethical or traditional criteria versus technical or more objective criteria.		9	8	7	6	5	4	3	2	1
e. **FORCE** Proper control of positive motivation; moral courage, loyalty to superiors and subordinates, loyalty to service and country, ability to take initiative; courage of his convictions but willingness to abide by and live with official decisions that run counter to his own.		9	8	7	6	5	4	3	2	1
f. **INITIATIVE** Motivated to make his unit and the Coast Guard the best possible by developing, adapting and implementing worthwhile ideas, innovations and new developments, especially in his specialty area. Strives to engender, in his subordinates, qualities of initiative and a willingness to accept change.		9	8	7	6	5	4	3	2	1
g. Overall evaluation of personal qualities. Composite of a. through f.		9	8	7	6	5	4	3	2	1
h. Desired distribution marks in item g.		15%	40%	30%	15%					

18. COMMENTS *(In this section a general appraisal of the officer should be developed which will integrate and round out the evaluation made elsewhere on this form. Indicate any notable accomplishments including original and constructive professional work.)* A specific comment addressing the performance of EEO responsibilities is required in this section (See COMDTINST 5354.2 series)

19. I have marked this officer in accordance with the DESIRED distributions in sections 14h. and 17h.

Signature of Reporting Officer

20. What has been the trend of his performance since your last report?

FIRST REPORT [ ] IMPROVING [ ] STEADY [ ] DECLINING [ ]

21. If any unsatisfactory mark or written comment of unsatisfactory performance is included in this report, check here. [ ] If so, it must be referred to the officer reported on for written comment and his comments attached to this report.

OFFICER	DATE	SIGNATURE	GRADE	SERVICE NO./SSN	TITLE OF POSITION
22. PREPARING					
23. REPORTING					
24. REVIEWING					

CONCUR [ ] COMPLETENESS ONLY [ ] COMMENTS ATTACHED [ ]

GPO : 1978 O - 276-844

DEPARTMENT OF TRANSPORTATION
U.S. COAST GUARD
CG-4328A (Rev. 10-78)

REPORT ON THE FITNESS OF LIEUTENANTS (JUNIOR GRADE) AND CHIEF WARRANT OFFICERS (W-2)

REPORTS CONTROL SYMBOL
G-PO-5072

THE OFFICER REPORTED ON WILL COMPLETE THE FIRST TWELVE SECTIONS

1. NAME (Last, First, Middle)	2. GRADE	3 YEARS IN GRADE	4 STATUS INDICATION	5. SERVICE NO.

6. UNIT NAME AND OPFAC NO.	7 DATE REPORTED PRESENT UNIT	8 SOCIAL SECURITY NO.

9. TYPE REPORT — REGULAR [ ] SPECIAL [ ] CONCURRENT [ ]

10 OCCASION FOR REGULAR REPORT — SEMI-ANNUAL [ ] DETACHMENT OF REPORTING OFFICER [ ] DETACHMENT OF OFFICER [ ] PROMOTION OF OFFICER [ ]

11. PERIOD OF REPORT — FROM TO

12. DUTIES *(List primary duties first, add watches and collateral duties. Indicate, after each, time spent in months during the reporting period. If assignment involves duties not well established, give outline of purpose, scope and significance of such duties. If necessary, use separate sheet. Personal or official reports of possible use to the reporting officer in evaluating your performance may be attached but should not be referenced. Include all periods in a PCS travel status. See Personnel Manual, 10-A-10.)* Days on TAD _____ All other days not present for duty _____

SIGNATURE OF OFFICER REPORTED ON

FOLLOWING TO BE FILLED IN BY REPORTING OFFICER

13. PERFORMANCE INFORMATION CONSIDERED IN COMPLETING THIS REPORT

a. INFORMATION: *Indicate for each method of appraisal used the quality of performance information considered in completing this report by marking an X in the appropriate marking box of each row.*

	QUALITY OF INFORMATION *(Consider the frequency, relevancy, accuracy and scope of information.)*			
	VERY GOOD	GOOD	LIMITED	NO SIGNIFICANT INFORMATION
(1) Direct personal observation of the officer reported on and his accomplishments.				
(2) Indirect knowledge of officer reported on through written or oral reports.				

b. DOCUMENTATION: Append reports of outstanding or unsatisfactory performance and reference them in this space. Avoid extraneous material *(See Personnel Manual (0-A-3.)*

14. a. PERFORMANCE OF DUTIES. *(Consider his performance in comparison with other officers of similar length of service in his grade and evaluate him in the factors by marking an "X" in the appropriate boxes O - OUTSTANDING, E - EXCELLENT, VG - VERY GOOD, G - GOOD, S - SATISFACTORY, U - UNSATISFACTORY or NO - NOT OBSERVED. Line out items if conditions do not provide an opportunity for significant performance.)*

	NO	O	E	VG	G	S	U
1. Primary Duties							
2. Collateral Duties							
3. Watch Standing							
4. Ship handling/airmanship							
5. Reaction to criticism or suggestions							
6. Makes decisions							
7. Adjusts to new situations							
8. Displays confidence							
9. Gets along with peers							
10. Accepts responsibility for subordinates							
11. Supports policies and actions of superiors							
12. Accepts responsibility for own work							
13. Meets commitments							
14. Observes lines of authority, both up and down							
15. Schedules own and subordinates' work							

	NO	O	E	VG	G	S	U
16. Considers ideas and suggestions of subordinates							
17. Keeps appropriate persons informed							
18. Keeps accurate, up-to-date records							
19. Takes share of undesirable duty							
20. Assumes responsibility in absence of superior							
21. Works overtime when necessary							
22. Follows through and completes assignments							
23. Teaches subordinates							
24. Corrects subordinates in a constructive manner							
25. Takes active interest in personal problems of subordinates							
26. Praises subordinates when deserved							
27. Composure under pressure							
28. Withholds judgment until he has necessary facts							
29. Self development in skills and knowledge							
30. Originates new methods and devices							

b. OVERALL PERFORMANCE. *(In comparison with other officers with similar length of service in his grade, evaluate his overall performance.)*

NOT OBSERVED	OUTSTANDING	EXCELLENT		VERY GOOD		GOOD		SATISFACTORY	UNSATISFACTORY
	9	8	7	6	5	4	3	2	1
Desired distribution of marks for this item	10%	30%	35%	20%		5%			

15. ATTITUDE *(Indicate your attitude toward having this officer under your command.)*

PARTICULARLY DESIRE TO HAVE HIM 9 [ ] — PREFER HIM TO MOST 7 [ ] — BE PLEASED TO HAVE HIM 5 [ ] — BE SATISFIED TO HAVE HIM 3 [ ] — PREFER NOT TO HAVE HIM (UNSATISFACTORY) 1 [ ]

16. COMPARISON *(In comparison with other officers of his grade how would you designate this officer?)*

ONE OF THE FEW OUTSTANDING OFFICERS I KNOW 9 [ ] — A VERY FINE OFFICER OF GREAT VALUE TO THE SERVICE 7 [ ] — A DEPENDABLE AND TYPICALLY EFFECTIVE OFFICER 5 [ ] — AN ACCEPTABLE OFFICER 3 [ ] — UNSATISFACTORY 1 [ ]

Previous Editions are Obsolete

SN-7530-00-FO1-7120

Reverse of CG-4128A (Rev. 10-78)

17. PERSONAL QUALITIES *(In comparison with other officers with similar length of service in his grade, to what degree has this officer exhibited the following qualities?*	NOT OBSERVED	OUTSTANDING	EXCELLENT		VERY GOOD		GOOD		SATISFACTORY	UNSATISFACTORY
a. **LEADERSHIP** Ability to accomplish assigned tasks, functions and objectives by directing the efforts of others, ability to give and take orders and other forms of guidance, ability to gain the confidence of superiors and subordinates, integrity of purpose and character. Ability to recognize and carry out equal opportunity responsibilities.		9	8	7	6	5	4	3	2	1
b. **HUMAN RELATIONS** Ability to get along with others with whom he must work and live, ability to maintain proper relations when dealing with subordinates and superiors, both military and civilian; willingness to learn from and to work with and through subordinate sources of authority such as petty officers; ability to deal with personnel problems and keep morale high, ability to deal authoritatively but courteously with the public, ability to lead in a humane, cooperative and morally responsible manner.		9	8	7	6	5	4	3	2	1
c. **PROFESSIONAL KNOWLEDGE** Knowledge of the service, knowledge required to perform his duties and to support the command to which he is assigned, knowledge of basic professional subjects, knowledge of other subjects of value to performance as a Coast Guard officer; scope of general knowledge, depth of specific knowledge.		9	8	7	6	5	4	3	2	1
d. **JUDGMENT** Ability to grasp a situation, think clearly, develop, analyze/interpret information, and arrive at reasonable conclusions of practical significance in solving complex problems.		9	8	7	6	5	4	3	2	1
e. **FORCE** Proper control of positive motivation; moral courage; loyalty to superiors and subordinates; loyalty to service and country, ability to take initiative; courage of his convictions but willingness to abide by and live with official decisions that run counter to his own, i.e., willingness to observe lines of authority.		9	8	7	6	5	4	3	2	1
f. **INITIATIVE** Motivated to make his unit and the Coast Guard the best possible by finding worthwhile application for ideas, innovations and new developments; motivated to increase his professional knowledge and to do the best job he can, willingness to sacrifice, if necessary.		9	8	7	6	5	4	3	2	1
g. **Overall evaluation of personal qualities.** Composite of a. through f.		9	8	7	6	5	4	3	2	1
h. **Desired distribution of marks in item g.**		10%	30%	35%	20%		5%			

18. COMMENTS. *(In this section a general appraisal of the officer should be developed which will integrate and point out the evaluation made elsewhere in this form. Indicate accomplishments including original and constructive professional work.)* A specific comment addressing the performance of EEO responsibilities is required in this section *(See COMDTINST 5354.2 series)*

19. I have marked this officer in accordance with the DESIRED distributions in Sections 14b. and 17h.

Signature of Reporting Officer

20. The officer reported on has been shown this report in accordance with 10-A-1, Personnel Manual. *(If "NO", indicate reason in Section 18.)*

YES ☐ NO ☐

21. What has been the trend of his performance since your last report?

FIRST REPORT ☐ IMPROVING ☐ STEADY ☐ DECLINING ☐

22. If any unsatisfactory mark or written comment of unsatisfactory performance is included in this report, check here, ☐ If so, it must be referred to the officer reported on for written comment and his comments attached to this report.

OFFICER	DATE	SIGNATURE	GRADE	SERVICE NO. SSN	TITLE OF POSITION
23. PREPARING					
24. REPORTING					
25. REVIEWING					

CONCUR ☐ COMPLETENESS ONLY ☐ COMMENTS ATTACHED ☐

HEWLETT hp PACKARD

PERFORMANCE EVALUATION AND DEVELOPMENT PLAN

management

Name: _____ (Emp. No.)

Date of Evaluation: _____

Date Hired: _____

Division and Dept.: _____

Job Title: _____

Evaluating Manager: _____ (Signature)

Time in Present Position: _____

Reviewed by: _____ (Next Level of Mgmt.)

I. POSITION OBJECTIVES AND MAJOR RESPONSIBILITIES: Summarize specific job responsibilities.

II. ACCOMPLISHMENTS AND/OR IMPROVEMENTS: What specific accomplishments and/or improvements has this individual made since the last review? What progress has been made toward meeting established goals?

9320-2946 (10/78)

Please consider the employee's demonstrated performance and mark the circle which most closely describes that performance.

EXCEPTIONAL:	Performance consistently far exceeds expectations.
VERY GOOD:	Performance consistently exceeds normal expectations and job requirements.
COMPETENT:	Performance consistently meets expectations and job requirements.
ACCEPTABLE:	Performance usually meets expectations and minimum requirements for the job.
UNACCEPTABLE:	Performance is below the minimum acceptable level.

PLANNING AND ORGANIZATION: Are responsibilities carried out in a sound logical manner? Does the function operate in a smooth, well organized way? Are activities planned ahead of time and commitments met? How well do plans align with the division's or region's objectives?

O Exceptional O Very Good O Competent O Acceptable O Unacceptable

JUDGMENT: Does the individual have well thought out reasons to back the decisions made? How much reliance can you place on the individual to make the right decision? How carefully are the pros and cons of any given situation weighed before arriving at a decision? How much maturity is shown in the decisions reached? How logical in arriving at conclusions? How perceptive of operating problems?

O Exceptional O Very Good O Competent O Acceptable O Unacceptable

LEADERSHIP: What methods and/or techniques are used to lead? Is delegation used effectively? Have employees been allowed to make significant contributions to this area's efforts? Does this person communicate well with employees and operate effectively with other departments?

O Exceptional O Very Good O Competent O Acceptable O Unacceptable

DEVELOPMENT: Have employees in this person's organization been individually counseled on their performance and development? What specific development programs have been implemented? What commitment and interest have been demonstrated in the development of people to their full potential?

O Exceptional O Very Good O Competent O Acceptable O Unacceptable

INITIATIVE AND INNOVATION: Are current methods and policies continually examined and suggestions made for new and better ones? Does this person make useful and worthwhile suggestions for improvement?

O Exceptional O Very Good O Competent O Acceptable O Unacceptable

PERSEVERANCE: Will this individual believe in and defend convictions and carry through on ideas? Are mistakes admitted and an attempt made to learn from them?

O Exceptional O Very Good O Competent O Acceptable O Unacceptable

AFFIRMATIVE ACTION: What leadership has been evidenced in planning and implementing an ongoing, positive affirmative action program of employment and development for minorities, women, and other people subject to discrimination? What have been the results?

O Exceptional O Very Good O Competent O Acceptable O Unacceptable

SAFETY AND WORK ENVIRONMENT: Has a safe and pleasant work environment been maintained in this area? Is the work area clean, uncluttered and free of hazards? What safety programs have been implemented?

O Exceptional O Very Good O Competent O Acceptable O Unacceptable

PERFORMANCE SUMMARY:

III. DEVELOPMENT PLAN: What areas should this individual strengthen to become a better manager? How can you as the manager help?

IV. NEXT YEAR'S GOAL STATEMENTS: Establish with your manager goals which may include new and better ways to carry out job responsibilities, as well as plans for personal development. These goals should be one of the criteria used in the next formal performance evaluation.

V. EMPLOYEE COMMENTS: Each employee evaluated is encouraged to add comments to this review. If additional space is needed, attach a separate sheet.

I am signing this evaluation to indicate that my manager and I have had a discussion of the above comments.

Date

Employee Signature

DEPARTMENT OF TRANSPORTATION
U. S. COAST GUARD

CHIEF PETTY OFFICER PERFORMANCE EVALUATION

1. NAME (Last, first, middle) | 2. RATE | 3. SOCIAL SECURITY NUMBER

4. UNIT NAME AND OPFAC | 5. PERIOD OF REPORT FROM: TO:

6. TYPE OF REPORT (Check one) ☐ SEMIANNUAL ☐ TRANSFER ☐ OTHER (Specify): | 7. BILLET LEVEL

8. IS THIS CHIEF PETTY OFFICER PERFORMING DUTIES OUTSIDE HIS/HER RATING? ☐ YES ☐ NO IF YES, DESCRIBE MAJOR DUTIES IN THE COMMENTS SECTION (BLOCK 13)

9. PERFORMANCE: In comparison with other Chief Petty Officers with the same grade, evaluate on the following performance factors.

GUIDELINE DISTRIBUTION OF MARKS

NOT OBSERVED ← IMPROVING PERFORMANCE

5 10 20 30 20 10 5

7 6 5 4 3 2 1

A. WRITING REPORTS
B. TRAINING OTHERS
C. COORDINATING WORK OF SUBORDINATES
D. HANDLING PERSONNEL WITH SPECIAL PROBLEMS
E. PLANNING AHEAD
F. IDENTIFYING PROBLEM SITUATIONS
G. EVALUATING PERSONNEL
H. PERFORMING UNDER TIME PRESSURES AND DISTRACTIONS
I. PERFORMANCE OF SAFETY AND OCCUPATIONAL HEALTH RESPONSIBILITIES.
J. PERFORMANCE OF PRIMARY DUTIES
K. PERFORMANCE OF COLLATERAL DUTIES

L. OVERALL EVALUATION

* REQUIRES COMMENT IN BLOCK 13

10. PERSONAL QUALITIES: In comparison with other Chief Petty Officers with the same grade, to what degree has individual exhibited the following qualities:

GUIDELINE DISTRIBUTION OF MARKS

NOT OBSERVED ← IMPROVING PERFORMANCE

5 10 20 30 20 10 5

7 6 5 4 3 3 1

A. LEADERSHIP: Ability to properly guide and control personnel resources in the accomplishment of duties, objectives, or missions. Integrity of purpose and character.
B. DEPENDABILITY: Assumes responsibility for planning and accomplishing both own and subordinates duties in a reliable fashion with little or no supervision.
C. JUDGMENT: Ability to grasp a situation, think clearly, develop, analyze/interpret information and make logical decisions. Considers capability of and effect on personnel and material resources.
D. INITIATIVE: Originates work action and planning activities as necessary; motivated self starting.
E. ADAPTABILITY: Adjusts to new situations and to new persons. Helps subordinates with their adjustment problems.
F. MILITARY BEARING: Appearance and manner enhances leadership image, encourages subordinates to comply with standards and regulations.
G. COMMUNICATION SKILLS: Able to effectively communicate both up and down the chain of command orally and in writing.
H. HUMAN RELATIONS: Effective in dealing with personnel problems and in implementing military equal opportunity policies. Leads in a humane and morally responsible manner.

I. OVERALL EVALUATION

11. CONDUCT *(Check in space below applicable block)*			
Conduct good Conforms to military standards and regulations. No court-martial convictions, non-judicial punishment or minor civil convictions.	Conduct satisfactory but occasionally lax. No court-martial convictions. Not more than one non-judicial punishment or minor civil conviction.	Meets minimum standards of conduct, or not more than one summary court-martial conviction, or not more than 2 minor offenses (NJP or civil) during the period.	Conduct unsatisfactory Repeatedly commits minor military and/or civil offenses or convicted by special or general court-martial

12. ADVANCEMENT POTENTIAL (Check one)

☐ READY FOR ADVANCEMENT ☐ SHOWS ADVANCEMENT POTENTIAL BUT IS NOT FULLY QUALIFIED FOR ADVANCEMENT

☐ DOES NOT SHOW ADVANCEMENT POTENTIAL ☐ NOT APPLICABLE (USE FOR E-9's)

13. COMMENTS:

OFFICER	DATE	SIGNATURE	GRADE	SOCIAL SECURITY NO.	TITLE OR POSITION
14. PREPARING					
15. REPORTING					

16. I HAVE SEEN THIS REPORT AND HAVE BEEN COUNSELED ON ITS CONTENTS.

SIGNATURE OF EVALUEE

COAST GUARD CHIEF PETTY OFFICER SIGNIFICANT INCIDENT FORM

Performance evaluation is a continuous process, not a once every six months intervention. This form is designed to assist the first-line supervisor during the evaluation period. If used properly the completed form will become an effective tool for counselling and developing subordinates, documenting performance, and for preparing the semi-annual performance evaluation.

The work sheet should be started for new personnel as they report in and at the beginning of each six month period. The personal data section below should be completed by the supervisor while interviewing the subordinate. The most critical part to be filled in and discussed is the description of primary and collateral duties to be performed.

Pages two and three outline the factors to be evaluated on the semi-annual performance evaluation form (CG-&%%$). These sixteen areas should be discussed with the subordinate at the beginning of the period. During the evaluation period both positive and negative significant incidents should be recorded and dated by the supervisor in the space provided. A signifigant incident is one that is either above or below average for personnel of similar pay grade and experience. Feedback in terms of recognition of positive behaviors and correction of negative behaviors should be given at the time of the significant incident. Subordinates should be encouraged to inform supervisors of significant incidents during the period and should be allowed access to the form and its contents.

Page four provides space for formal counselling sessions which should occur at least once every two months. These sessions should serve to reinforce positive performance as well as correct poor performance.

The completed significant incident form should be fowarded via the chain of command for review by the Commanding Officer along with the recommended semi-annual performance evaluation. This will then be retained at the unit until the individual is transferred, at which time it will be destroyed.

1. NAME (Last, First, MI)	2. RATE	3. SSAN
4. UNIT	5. PERIOD OF REPORT FROM: TO:	
6. DESCRIPTION OF DUTIES PRIMARY DUTIES: COLLATERAL DUTIES: SPECIAL PROJECTS:		
7. SUPERVISOR	8. DEPARTMENT	

COAST GUARD CHIEF PETTY OFFICER SIGNIFICANT INCIDENT FORM

NAME: _____

PERSONNEL QUALITIES	DATE	OBSERVATIONS OF POSITIVE BEHAVIOR	DATE	OBSERVATIONS OF NEGATIVE BEHAVIOR
LEADERSHIP: Ability to properly guide and control personnel resources in the accomplishment of duties, objectives, or missions. Integrity of purpose and character.				
DEPENDABILITY: Assumes responsibility for planning and accomplishing both own and subordinates duties in a reliable fashion with little or no supervision.				
JUDGMENT: Ability to grasp a situation, think clearly, develop, analyze/ interpret information and make logical decisions. Considers capability of and effect on personnel and material resources.				
INITIATIVE: Originates work action and planning activities as necessary; motivated self starting.				
ADAPTABILITY: Adjusts to new situations and to new persons. Helps subordinates with their adjustment problems.				
HUMAN RELATIONS: Effective in dealing with personnel problems and in implementing military equal opportunity policies. Leads in a humane and morally responsible manner.				
MILITARY BEARING: Appearance and manner enhances leadership image, encourages subordinates to comply with standards and regulations.				
COMMUNICATION SKILLS: Able to effectively communicate both up and down the chain of command orally and in writing.				

COAST GUARD CHIEF PETTY OFFICER SIGNIFICANT INCIDENT FORM

NAME:_____

PERFORMANCE:	DATE	OBSERVATIONS OF POSITIVE BEHAVIOR	DATE	OBSERVATIONS OF NEGATIVE BEHAVIOR
WRITING REPORTS				
TRAINING OTHERS				
COORDINATING WORK OF SUBORDINATES				
HANDLING PERSONNEL WITH SPECIAL PROBLEMS				
PLANNING AHEAD				
IDENTIFYING PROBLEM SITUATIONS				
EVALUATING PERSONNEL				
PERFORMING UNDER TIME PRESSURES AND DIS-TRACTIONS				
PERFORMANCE OF SAFETY AND OCCUPATIONAL HEALTH RESPONSIBILITIES				
PERFORMANCE OF PRIMARY DUTIES				
PERFORMANCE OF COLLATERAL DUTIES				

COAST GUARD CHIEF PETTY OFFICER SIGNIFICANT INCIDENT FORM

RECORD OF COUNSELLING

INITIAL SESSION: DATE_____
AREAS DISCUSSED_____
_____
_____
_____
_____
SUPERVISORS INITIALS_____SUBORDINATES INITIALS_____

FOLLOW UP SESSION DATE_____
AREAS DISCUSSED_____
_____
_____
_____
_____
SUPERVISORS INITIALS_____SUBORDINATES INITIALS_____

FOLLOW UP SESSION DATE_____
AREAS DISCUSSED_____
_____
_____
_____
_____
SUPERVISORS INITIALS_____SUBORDINATES INITIALS_____

END OF PERIOD SESSION: DATE_____
AREAS DISCUSSED_____
_____
_____
_____
_____
SUPERVISORS INITIALS_____SUBORDINATES INITIALS_____

THREE WAYS TO IMPROVE:
1._____
2._____
3._____

APPENDIX B
FITNESS REPORT SECTION FROM CG PERSONNEL MANUAL, CG-207

Section A--OFFICER FITNESS REPORTS

10-A-1 GENERAL INFORMATION

(a) Introduction. This Section sets forth requirements for the submission of fitness reports for commissioned officers and chief warrant officers of the Coast Guard on active duty. Each officer should consider its contents so that the potential usefulness of the fitness report system to the Service and to the individual officer can be fully realized. "He," "his," and "him" as used in this Section include the terms "she" and "her."

(b) Record Keeping. Each level in the chain of command shall maintain such checkoff systems as are appropriate to ensure that fitness reports are submitted promptly and in conformance with this Section.

(c) Showing Fitness Reports

(1) Chief warrant officers with less than 2 years of commissioned warrant service and officers in the grades of lieutenant (junior grade) and below shall be shown their fitness reports as part of a special counseling program (see Article 10-A-15).

(2) As a general rule, officers in the grades of lieutenant and above and chief warrant officers with 2 or more years of commissioned warrant officer service, will not be shown their fitness reports by the reporting officer unless the report is unsatisfactory (see Article 10-A-12 (e)).

(3) Upon written request to Commandant (G-PO-4), an officer may obtain a copy of any of his fitness reports. Also, the individual officer or his authorized representative may review his fitness report file in Headquarters.

(4) Officers who once fail of selection will be furnished copies of the fitness reports considered most significant as outlined in Article 14-A-4. These copies will be mailed directly to the officer concerned.

(d) Access and Custody of Fitness Reports

(1) Access to an officer's records, which include his fitness report file and general file, will be given only to the officer personally or to a representative of the officer upon presentation by his representative of a written authorization from the officer concerned; to the clerk of a court of competent jurisdiction in response to a valid order from that court; or to officers of the Coast Guard at Headquarters for use in the transaction of official business.

(2) Custody and positive supervision of officer records shall be maintained at all times to prevent loss, removal, or alteration of the contents. The original of the officer's fitness record shall not be removed from Headquarters files.

(e) Forms Required. The following forms will be used in conjunction with this Section:

(1) Report on the Fitness of Admirals (Form CG-4328D) (RCS G-PO-5072).

(2) Report on the Fitness of Captains and Commanders (Form CG-4328C) (RCS G-PO-5072).

(3) Report on the Fitness of Lieutenant Commanders, Lieutenants, and Chief Warrant Officers With More Than 2 Years of Service (Form CG-4328B) (RCS G-PO-5072).

(4) Report on the Fitness of Lieutenants (JG), Ensigns, and Those Chief Warrant Officers With Less Than 2 Years Service (Form CG-4328A)(RCS G-PO-5072).

(f) Mailing Fitness Reports

(1) Fitness reports shall be processed to arrive in Headquarters not later than 30 days following the end of the reporting period.

(2) Letters of transmittal serve no purpose and are not required.

(3) Fitness reports shall be mailed in double envelopes, the inner envelope marked "Officer Fitness Reports - For Official Use Only". Security classification shall not be given to fitness reports.

(g) Amendment of Fitness Reports. All fitness reports are checked at Headquarters to insure they are complete and technically correct. Once a fitness report is approve and entered into an officer's file, it is not subject to withdrawal, alteration, or change. However, if an administrative error is later discovered in the preparation or filing of a fitness report, Commandant (G-P) may authorize the

10-A-1(g)(contd) necessary modifications to correct the report.

10-A-2 TYPES OF FITNESS REPORTS

(a) Regular Reports. Regular fitness reports are those which are submitted at scheduled intervals, upon detachment or promotion of the officer reported on, and upon detachment of the reporting officer.

(b) Special Reports. Special fitness reports are those submitted at times other than those prescribed for regular reports and at the direction of the reporting officer or other higher authority.

(c) Concurrent Reports. A regular or special report may also be a concurrent report. Concurrent reports are two or more separate fitness reports covering the same period of an officer's performance

(1) when he is filling separate or distinct billets or command functions under different commanders;

(2) when he is in a billet for which technical control and administrative control are separated (e.g., Chief, Merchant Marine Technical Branch);

(3) when he is in command of a unit for which operational control and administrative control are separated (e.g., units assigned to International Ice Patrol, Deep Freeze Operations, DEW line resupply, etc.);

(4) when he is in command of a unit with divided operational control (e.g., Loran Stations with both A and C capabilities);

(5) when he is performing duty away from his permanent station and while he is being observed by a superior other than his regular reporting officer for a period of 60 days or more (e.g., IBSEC aviators deployed aboard Coast Guard icebreakers). These concurrent reports will normally be special reports written upon the detachment of the TAD officer, and covering only the period of temporary additional duty.

(d) Letter Reports. Letter reports provide information concerning an officer's performance of duty during a short period of duty, normally less than 60 days, away from his normal assignment and while he is being observed by a superior other than his regular reporting officer. In addition, letter reports are required on commanding officers of Headquarters units located within the boundaries of a CG district. Letter reports shall be forwarded to the officer's regular reporting officer. The reporting officer may use the information in the letter report to assist him in preparing a regular report. Letter reports shall not be forwarded with or attached to a regular fitness report. (See Article 10-A-3 (c).)

10-A-3 SCHEDULE OF SUBMISSION

Fitness reports shall be forwarded to arrive at Headquarters not later than 30 days following the occasion for the report or the end of the reporting period. Prompt and proper submission of reports is necessary to provide boards and reviewing officers with up-to-date information. Fitness reports shall be submitted as follows:

(a) Regular Reports

(1) Upon detachment of officer reported on.

(2) Upon detachment of reporting officer as a result of a permanent change of station assignment, relief for cause, incapacity, etc.

(3) Upon promotion to a higher grade (covering the period from the day following termination date of last report to and including the date prior to date of promotion).

(4) Semiannually (annually for flag officers), as of the last day of the month as follows except as cited in subparagraph (5):

Grade	Submit last day of
Admiral	Jun
Captain	Apr and Oct
Commander Lieutenant Commander Lieutenant Chief Warrant Officer	Jan and Jul
Lieutenant (junior grade) Ensign	Apr and Oct

10-A-3(a)(5) A regular semiannual (annual for flag officers) fitness report is not required if a report has been submitted due to promotion, transfer of officer, or transfer of reporting officer, within 60 days prior to the semiannual (or annual) reporting date; or is scheduled to be submitted by the same reporting officer within 60 days thereafter.

(6) A new reporting officer observing an officer for the first time and for less than 60 days may submit a regular report marked "For continuity purposes only". This entry shall not be used on any other occasion.

(7) A reporting officer, other than a new reporting officer, observing an officer for a period of less than 60 days may submit a regular report marked "The marks and my remarks for the reporting period_____to_____still apply." This entry can be used only if:

a. The previous report was a complete and full report, and

b. The present report is being made for the same grade as the last report.

(8) Except as provided in subparagraphs (5), (6) and (7), a complete and full fitness report is required semiannually (annually for flag officers) for the period commencing on the date following the termination date of the previous report and also upon the occasion of promotion, transfer of the reporting officer or the transfer of the officer reported on. A reporting period of less than 60 days does not preclude a full and complete report whenever the reporting officer desires to submit one.

(b) Special Reports

(1) When a reporting officer deems such a report necessary or desirable.

(2) When directed by higher authority, such as on officers assigned to temporary additional duty for periods of 60 days or more.

(3) Three months subsequent to the end of the period for which there has been an unsatisfactory report on an officer (if neither the officer nor the reporting officer has been transferred), the reporting officer shall submit a special fitness report, noting progress towards improved performance.

(4) Regular fitness reports shall be prepared on the last day of Jan, Apr, Jul, Oct for officers serving in the grade of ensign and temporary CWO-2 who have been removed from the line of promotion.

(c) Letter Reports. The original and two copies of letter reports shall be submitted directly to the officer's regular reporting officer as follows:

(1) Required on an officer temporarily assigned for a period of over 30 days but less than 60 days, upon detachment of the officer.

(2) Required by district commanders on commanding officers of HQ units located within their districts, addressing only community relations, and those aspects of performance relating to the support services defined in Memoranda of Understanding (MOU), host-tenant agreements, intraservice support agreements, or similar contracts. Submit directly to the officer's regular reporting officer within 15 days after the occasion for the report.

(3) Required in other cases when specifically requested by the reporting officer.

(4) May be submitted on commanding officers of units which are assigned for temporary operational control (not more than 60 days), upon completion of the assignment. For periods in excess of 60 days a concurrent report shall be submitted. (See Article 10-A-2(c).)

(5) The area commander shall receive a copy of all letter reports on the performance of commanding officers of high endurance cutters and icebreakers submitted by operational commanders other than the designated reporting officer set forth in Article 10-A-11.

(6) Officers Under Instruction. Because the officer reported on must attach his grades to the fitness report (Article 10-A-10 (a)), the submission dates of fitness reports of officers in postgraduate training shall be in accordance with the school's academic schedule but no less than twice a year. Whenever feasible, submission should also correspond with the regular report schedule in Article 10-A-2 (a).

10-A-4 DOCUMENTATION OF FITNESS REPORTS

(a) Material Pertaining to Outstanding Evaluation

(1) Only letters or messages of commendation or appreciation signed by a Cabinet level or higher civilian official, a Congressman, the Commandant a district commander, a State Governor or an officer of flag rank or its equivalent, shall be referenced and appended to a fitness report form. An endorsement or a cover letter by a flag officer on letters that do not themselves satisfy the above criteria is not sufficient justification for referencing and appending such materials to a fitness report. However, it would be proper to refer to them in the comments section of the fitness report.

(2) Other types of letters of appreciation for services rendered, so called "thank you" type letters from a commanding officer, individual civilians, civic organizations or local government officials, and newspaper or magazine articles pertaining to the officer being reported on may be used as a basis for the fitness report and may be commented on in Section 18 of the fitness report form. This type of material shall not be forwarded with the fitness report unless unusual circumstances demand additional documentation or the reporting officer is otherwise unable to complete the Section 18 remarks with clarity.

(b) Material Pertaining to Unsatisfactory Evaluation

(1) Copies of punitive letters of censure, issued under Article 15, UCMJ, and copies of Court-Memorandums shall not be appended to a fitness report or commented on in a fitness report. (See Section 8-D.) The disciplinary process is a separate process apart from the fitness reporting system. Factual statements concerning incidents of poor performance are appropriate to report; even if the poor performance may result in later disciplinary action. However, no reference to a disciplinary proceeding may be included in the fitness report remarks.

(2) Reports of civil arrest or letter reports of pending court-martial or investigative proceedings shall not be referenced or appended to a fitness report. However, the reporting officer may comment on related facts or observations concerning the officer's performance, so long as premature reference to the proceedings is avoided. Letter reports of pending court-martial or investigative proceedings may be forwarded to the Commandant (G-PO) when that action is considered appropriate by the reporting officer. Civil arrests shall be reported as required by Section 8-C.

(3) A written nonpunitive censure or copy thereof may not be appended to a fitness report. (See Article 8-D-4.)

10-A-5 MONITORING FITNESS REPORT MARKS

(a) Fitness Report Accounting. With the introduction of the new fitness report forms, Headquarters will maintain, on tape or cards, a file of marks assigned by reporting officers. Periodically, each reporting officer will be sent a copy of a printout comparing the marks assigned by the reporting officer with Service norms. By maintaining a record of these printouts reporting officers will be able to evaluate their marking tendencies and adjust their marking habits accordingly.

(b) Monitoring Marks. Over a period of time, reporting officers and preparing officers should have a spread of marks on the printouts. If officers were assigned on a chance basis, the probabilities of having all above-average officers would become smaller as the number of officers rated increased. For example, on a random basis the probability of having 10 officers assigned to one reporting officer, all of whom are in the upper 50 percent, is only one out of 1,024. The chances of rating three officers who are all outstanding and in the upper 5 percent is only one in 8,000. Likewise, the probability that any one reporting officer will have all average officers, all

10-A-5(b)(contd)
of whom fall in the middle, becomes more remote as the number of officers rated increases. Though these probabilities are mentioned as a caution to reporting officers, they should not be interpreted to mean that a reporting officer's marks must or should conform exactly to the experience distribution of marks as specified on the fitness report form or printout. Small deviations from the experienced distribution would occur by chance quite frequently. However, large deviations are highly improbable on a chance basis and should be acceptable to the reporting officer only if he is certain that there has been a special selection of officers for assignment to his command.

10-A-6 through 10-A-9 VACANT

10 RESPONSIBILITY OF OFFICER BEING REPORTED ON

nitiating the Fitness Report. The being reported on is responsible tiating the fitness report by:

) Ensuring use of the appropriate report form, i.e., for his grade, t edition, etc., and compliance ny supplemental instructions which e issued by Commandant Notice 1611 series.

) Completing Sections 1 through 12 e Fitness Report Receipt slip of the riate fitness report form (see Ar-0-A-1 (e)) as follows: (Excludes CG-4328D which is self-explanatory ose sections of Form CG-4328C, 28B and CG-4328A which are self-atory.)

Section 2. Grade. Enter two digit ade, i.e., W2, O5.

Section 4. Status Indicator. En-tus indicator as shown in the t Register of Officers and Cadets United States Coast Guard 11).

Section 6. Unit. Indicate the nd disignation of the cutter or to which permanently attached as the OPFAC number.

Section 7. Date Reported Present Indicate the actual date of re-to the unit specified in Section 6 wn by endorsement on orders. date in numeric, alpha, numeric Two digit year, three letter and two digit day without spacing, 73JAN01.

Section 9. Type of Report. See 10-A-2. Mark regular or special appropriate, concurrent.

Section 10. Occasion for Regular . See Article 10-A-3.

Section 11. Period of Report. riod commences with the day after minal date of the previous report and ends with the date of the occa-r the report. Elapsed time be-permanent duty or temporary duty s (in transit, on leave, hospital-, etc.) shall be included in the l of Report and noted in Section 12. date in same format used in Sec-tion 7.

Section 12. Duties or Assignment. In this section, the officer reported upon develops a brief statement of his duties or assignment. This may serve as a memory and observation aid to the reporting officer providing him with a statement of how the officer reported on has spent his time. The total number of days he was not present for duty by reason of leave, sick leave, hospitalization, travel, etc., must be accounted for in this section and recorded as follows: "Days not present for duty - (no. days)" or "Days not present for duty - None." As indicated, negative reports are required. Temporary additional duty shall be accounted for in this section and recorded as follows: "Days on TAD - (no. days)."

Fitness Report Receipt. This receipt slip is provided to inform the officer reported on that fitness reports have been received by the reporting officer and the Commandant, to provide a record for use in dating subsequent fitness reports, and to provide information on missing fitness reports and periods not covered by reports.

(3) Appending to the fitness report form three copies of "official" letters or messages of commendation, appreciation, or punitive letters of censure received during the reporting period. (See Article 10-A-4.)

(4) If solicited by the reporting officer, the officer reported on may also attach one copy of letters of appreciation or thank you for services rendered. (See Article 10-A-4.)

(5) Furnishing grades to the designated reporting senior specified in Article 10-A-11 (d) when he is assigned duty under instruction.

(6) Maintaining personal contact with the reporting officer whenever feasible.

(7) Delivering to reporting officer. (See Article 10-A-11.)

(b) Maintaining Continuity of Fitness Reports. The officer reported on is responsible for maintaining continuity of fitness reports by:

(1) Maintaining a file of Fitness

10-A-10(b)(1)(contd) Report Receipts for use in ensuring continuity when drafting subsequent fitness reports.

(2) Informing the Commandant (G-PO-4) by letter, via his reporting and reviewing officer, if he has not received the original Fitness Report Receipt within 90 days after the end of the reporting period.

(c) Missing Fitness Reports or Periods Not Covered by a Fitness Report. When an officer is advised of a missing fitness report or a period of time not covered in a report, he shall take the following action:

(1) Check his Fitness Report Receipts to determine if the report was submitted. If not submitted, complete necessary fitness report forms and forward them to the appropriate reporting officer, by letter of transmittal requesting the report be completed. A copy of the letter shall be forwarded to Commandant (G-PO-4) for information.

(2) When all required fitness reports have been submitted and a short period of time has not been covered by a fitness report, the officer shall report the circumstances by letter to Commandant (G-PO-4) and request correction of Section 11 of the appropriate report.

10-A-11 THE REPORTING OFFICER

(a) General

(1) The commanding officer (unit commander, where title other than commanding officer is used) shall be the reporting officer for all officers assigned to the command except as indicated in paragraph (b) of this Article.

(2) The district commander shall be the reporting officer for all captains in the district and for commanding officers of district units which are not under a group or section command. This duty may not be delegated.

(3) The Commandant is the reporting officer for the Vice Commandant and the area commanders. The Vice Commandant is the reporting officer for all other flag officers. The reporting officer for commanding officers of Headquarters units (except for certain concurrent reports as outlined in paragraph (c) of this Article) shall be the chief of the Headquarters office having technical control over the unit. Additionally, district commanders shall prepare letter reports of limited scope on commanding officers of Headquarters units as set forth in Article 10-A-3 (c) (2). In the case of subordinate Headquarters units, such as certain Merchant Marine Details, the reporting officer shall be the immediate senior in the chain of command.

(4) Reporting officers at Headquarters will be designated by a Headquarters Instruction.

(5) District commanders and commanding officers of large Headquarters units may delegate the duty of reporting officer to officers of appropriate rank who are in a position of responsibility directly over the officer to be reported upon. This delegation authority does not apply to fitness reports on captains or officers referred to in subparagraph (2) above. When such delegations are made, all officers concerned shall be informed so that fitness reports may be submitted to the proper reporting officer. Even though no delegation of authority is made, it is expected that an officer having direct supervision over another officer will prepare that officer's fitness report, either in the rough or smooth, as directed by the reporting officer. In the latter case, the officer preparing the report shall sign in Section 21 of the report form; the reporting officer shall sign in Section 22. If the reporting officer does not concur in the preparing officer's evaluation, he may either modify the smooth report and initial each change or he may prepare a new report.

(b) Officers of the Same Grade

(1) Normally an officer shall be reported on by an officer at least one grade senior to him, however in exceptional circumstances an officer may be reported on by a senior officer of the same grade provided there are at least two year groups between the year groups of the officers concerned. If there are not two year groups between the year groups of the officers concerned, the reporting officer shall be the next senior

10-A-11(b)(1)(contd)
officer in the chain of command or another senior officer specified as reporting officer elsewhere in this Article.

(2) In commands or units directly under the control of Headquarters where there are two or more officers of the same grade assigned, the officer in command shall report on junior officers of the same grade provided they are separated by year groups as indicated in subparagraph (1) above. In cases where the senior officer assigned is not in the command billet or where the year group separation required by subparagraph (1) above does not exist, the officer shall submit his fitness reports directly to the chief of the Headquarters office having technical control.

(c) Concurrent Reports

(1) At commands where one officer is filling two separate and distinct billets or command functions under two different commanders (see Article 10-A-2 (c)) concurrent reports shall be submitted by

a. the district commander for reports submitted for the billet as the commanding officer of a district unit, and

b. the appropriate chief of the Headquarters office having technical control for reports submitted for the billet as the commanding officer of the Headquarters unit.

(2) In the case of officers assigned to a billet where technical and administrative control are separated, concurrent reports shall be submitted by

a. the officer exercising administrative control, and

b. the officer exercising technical control.

(3) Concurrent reports shall be submitted on an officer in command of a unit for which operational control and administrative control are separated by

a. the officer exercising operational control, and

b. the officer exercising administrative control.

(4) Concurrent reports shall be submitted on a commanding officer of a unit with divided operational control by those officers exercising operational control over the unit. (See Article 10-A-2 (c).)

(5) Concurrent reports shall be submitted on an officer assigned to TAD away from his permanent station and regular reporting officer for periods of 60 days or more. Since several occasions for submission of regular reports may occur during a lengthy period of TAD (promotion of officer reported on, detachment of regular reporting officer or end of regular semiannual period), such concurrent reports will be special reports and will be submitted upon the detachment of the TAD officer from his temporary additional duty. (See Article 10-A-2 (c) (5).) Only the report written by the reporting officer at the TAD unit shall be marked "CONCURRENT"; the regular reporting officer shall continue to write regular fitness reports at intervals prescribed in Article 10-A-3.

(d) Assigned Duty Under Instruction

(1) When an officer is assigned to duty under instruction, his reporting officer shall be the Armed Forces officer in charge of the military students when that officer is senior to him and is agreeable to performing this duty. If that officer declines the duty or if there is no officer senior to him or if there is no Armed Forces Program, the reporting officer shall be the commanding officer of the unit to which he is administratively attached. The minimum information required on each report for officers under instruction is a copy of the officer's most recent academic marks obtained from the school or Commandant (G-PTE).

(2) For officers assigned to Merchant Marine Industry training, Commandant (G-M) shall be the reporting officer.

(3) For officers assigned to Port Safety Industry training, Commandant (G-W) shall be reporting officer.

(4) When officers are assigned to Armed Forces Schools as staff or students and the schedule for submission of

fitness reports is based on an academic year, the school fitness report submissions schedule shall be followed in lieu of Article 10-A-3 (a) (4). From time to time the Commandant will require special reports for use of selection boards considering officers assigned to the school.

(e) Assigned to Staff or Mission of Another Service. When an officer is assigned to the staff or mission of another service the reporting officer shall be the commanding officer of the mission or the senior officer of the staff to which assigned.

(f) Assigned Under Direct Supervision of Civilian Employees. A civilian chief of an office in Headquarters will serve as reporting officer as directed in the current Headquarters Instruction. Other civilian employees of the Coast Guard who have commissioned or chief warrant officers assigned under their direct supervision may act as the preparing officers of fitness reports, however the Coast Guard officer next in the chain of command shall be the reporting officer. Civilian employees of the Department of Transportation who have Coast Guard officers under their direct supervision act as reporting officer for those officers under provisions of the applicable DOT order.

(g) Assigned to Duty in Civilian Agencies. For officers assigned to duty in other civilian agencies, the chief of the Headquarters office who exercises management control over the program involved will be the reporting officer.

(h) Relief of Reporting Officer for Cause

(1) A reporting senior who is being relieved due to misconduct or unsatisfactory performance of duty shall not complete fitness reports on officers under his command subsequent to being advised that such action has been initiated. Under such circumstances, the fitness reports which normally would be completed by him shall be completed by the next senior officer in the chain of command or by an officer designated in writing by that senior as qualified to give better evaluations of the individual officers. In the latter instance, Commandant (G-P) shall be furnished a copy of the designation letter.

(2) In instances wherein a commanding officer is designated an interested party to an investigation or court of inquiry following a collision, grounding, or other unusual event and it appears that the matter will not be resolved within 30 days, the next senior officer in the chain of command shall take the action indicated in the preceding paragraph in the interest of maintaining the continuity of the fitness records of the officers concerned.

10-A-12 RESPONSIBILITY OF REPORTING OFFICERS

(a) General

(1) Promotion, assignment, retention, and other important personnel actions are based, in large part, on fitness report records. Therefore, the effectiveness of the Service depends upon accurate and objective fitness reporting. It is the reporting officer who provides personnel boards with the information necessary to them. In this sense, each reporting officer has a "say" or a "vote" in determining assignments and selecting Service leadership. If the reporting officer provides valid and reliable information on the fitness report, this will be

reflected in the future leadership of the Coast Guard, and the selection systems will be fair and equitable. Reporting officers must mark with the assurance that all reporting officers are using similar marking standards and that each reporting officer is responsive to the best interests of both the Service and the individual. Each must adhere to the standards.

(2) A reporting officer must realize that serious, careful and complete preparation of the fitness report is one of his most important duties. The career of the individual being evaluated, as well as the efficiency of the Coast Guard, rests directly on the picture that the fitness report presents to a selection board. Generalities, ambiguous statements, and a multiplicity of "not observed" marks render the report of little value.

(3) A reporting officer should assure himself that he is adequately informed concerning the performance of the evaluee by means of direct personal observation and by means of reports or information from staff components. The reporting officer must be particularly careful to evaluate secondhand information in order to avoid possible bias.

★ (b) Complexities in Performance Evaluation

(1) The fitness report form provides scales against which the reporting officer makes value judgments of performance. Each scaled item on the fitness report form has five elements:

a. It defines what performance or personal quality will be evaluated.

b. It stipulates the reporting officer's evaluation, e.g., "in comparison with other officers of his grade and similar length of service." These comparisons should be further defined as to officers on the Active Duty Promotion List, Reserve Program Administrators and members of the Permanent Commissioned Teaching Staff.

c. It provides a marking scale appropriately calibrated to fit both the item being evaluated and the performance norms.

d. The period of time covered by the evaluation is specified.

e. The nature of the assignment of the officer reported on is indicated.

These five elements must be matched by the reporting officer with the performance information he has available. Judgments regarding the various elements must be weighted and combined to arrive at a mark which accurately reflects the relative and absolute quality of the officer's performance.

(2) Reporting officers are encouraged to use a systematic approach which will effectively deal with the complex process of performance evaluation. Because many reporting officers already have evolved their own effective systems of marking fitness reports, this Article does not prescribe a single approach for use by all reporting officers. On the other hand, new reporting officers can eliminate much "trial and error" learning if a good, systematic rating approach is adopted. Accordingly the procedure of paragraph (d) below is recommended.

(c) Rating Errors in the Fitness Report System. Fitness report marks are measurements and, as is any measurement, subject to error. Reducing these errors to the minimum is of vital importance. This paragraph discusses how to improve measurement accuracy by eliminating or controlling the elements that produce rating error.

(1) Error Due to the Information Considered by the Reporting Officer. To honestly and accurately evaluate the performance of the officer he reports on, a reporting officer must have sufficient performance information on which to base his evaluation. Traditionally, this information source has been through direct, personal observation. However, this is not always possible because of geographical separation or because the nature of the work being performed does not lend itself to this observation. Therefore, performance must frequently be measured by evaluation of the results of an officer's effort or indirectly through reports of observation by other persons. Since there are differences in

both the amount and kind of performance information which may be considered by a reporting officer, and since these differences can influence the marks assigned, it is essential that reporting officers not only insure the accuracy of information they use but also that it is truly representative of the officer's overall performance.

(2) Errors Caused by Rater Differences

a. Marks on fitness report are influenced, to some degree, by the personal characteristics of the reporting senior. This is referred to as "rater difference", and since it is independent of the actual performance of the officer reported on, it is a source of rating error. The "hard markers", the "easy markers" and the "down-the-middle markers" introduce this type of error. Also contributing are the "first or last impression markers", the superficial, "general-impression markers", the "single-minor-incident markers", and reporting officers who give insufficient attention to the completion of fitness reports.

b. Rater difference errors can be controlled and minimized by training, experience, adherence to marking standards, and the exercise of good marking discipline. The experience of the other Services had been that the most difficult rater error to control is rater leniency. This is the tendency to give better than average ratings and avoid average and low ratings. This has been observed to be particularly true when a "best qualified" promotion system has succeeded a "fully qualified" system.

c. The experienced distributions of marks listed on the fitness report form were developed from a survey of reports submitted under the best qualified promotion system. These distributions will serve as a guide for reporting officers in evaluating their own disposition toward "rater differences".

d. A second type of rater difference involves personal likes and dislikes which occasionally develop between reporting officers and officers reported on. The only practical control for error of this type is the exercise of continuing effort on the part of the reporting officer to be objective and evaluate actual performance.

★ (d) Recommended Rating Procedure

(1) In writing fitness reports on a group of officers, the evaluation process must include the following primary elements:

a. What is the officer expected to do?

b. How well does he do it?

c. How does he compare with other officers?

(2) The following rating procedure follows the structure outlined in subparagraph (1) above:

a. Review the billet requirements.

1. Review the assigned duties in the unit organization book for each officer in a given grade level being reported on.

2. Review any special assignments.

3. Consider projects, self-improvement efforts, and contributions to the community initiated by the officer.

b. Review the officer's performance.

1. If practical, develop a performance information record for each officer and record information that is representative of his performance during the period covered by the report.

2. List the officer's most notable strengths and accomplishments.

3. List any weaknesses which impair the officer's performance.

4. Refer to any letters of commendation or censure or other similar performance information. (See paragraphs (e) and (f) of this Article and Article 10-A-4.)

c. Compare the officer with other officers in the same grade level and with the same promotional aspects, i.e., compare ADPL officers with other ADPL officers, RPA's with other RPA's, and members of the PCTS with other members of the PCTS.

1. Considering the length of

time in grade, rank order the officers according to a composite evaluation based on available information.

2. Considering billet information and length of time in grade, rank order the officers by individual trait or groups of related traits on the fitness reports.

3. Relate entire group rated to other officers of the same grade that you have known.

After the above has been accomplished, the reports may be written using individual notes and relative standings. Reporting officers should review previous reports submitted on an officer, not only to note changes in performance but also to preclude unintentional variations of marks which could be considered by selection boards as significant changes in the officer's performance.

(e) Unsatisfactory Reports. In general, unsatisfactory performance is defined as that performance which is less than adequate at an officer's current grade level after qualifying factors are considered and taken into account. If an officer is assigned to a billet which calls for a higher grade than the officer filling the billet, the reporting senior must take into account the difference between the demands of the billet and performance which may reasonably be expected of the grade of the officer assigned to the billet. Similarly, if the billet is in a specialty area different from the specialty area of the officer, the reporting officer must take into account the indoctrination and familiarization period needed by the officer in order for him to demonstrate his true performance potential. In some cases, an unsatisfactory report will be associated only with a specific incident or situation which is not typical of the officer's overall performance; for example, an officer who is performing well except in one factor such as the human relations area. Continued unsatisfactory performance, whether it be overall unsatisfactory performance or unsatisfactory performance in a limited or specific area, means that the officer should not be retained at his current grade level and may lead to separation from the Service.

(1) Reports of unsatisfactory performance shall not be placed in an officer's record without his knowledge.

(2) Reporting officers shall refer any report which contains a mark or an evaluation of unsatisfactory to the officer being reported on. The officer reported on shall comment in writing within 14 days of receiving the report. However, an officer may request an extension of this time period by stating his reasons to Commandant (G-PO). If the officer reported on does not desire to comment, he shall so state in writing. Enclosures to the written comments may be attached if they satisfy the criteria of Article 10-A-4 (a). The signed original and one copy of the comments together with the reporting officer's endorsement shall be attached to the fitness report. The reviewing officer shall also endorse the comments except where the basic report was signed for "completeness only."

(3) If the officer reported on has been detached, the unsatisfactory report shall be forwarded to him directly and not via his new commanding officer.

(4) If the officer reported on has been hospitalized, the unsatisfactory report shall be forwarded to the district commander or to the Commandant (G-PO), who shall deliver the unsatisfactory report for comment only after he has determined that viewing the report will not be detrimental to the officer's health.

(5) If an unsatisfactory report is other than a detachment report, the reporting senior will submit a special report in 3 months as directed in Article 10-A-3.

(f) Pending Disciplinary Action. Reporting officers shall not comment in an officer's fitness report on any pending disciplinary or investigative action. Such comment is proper only after the court or board has been finally acted upon through all levels of review which are legally available. However, this restriction does not preclude the reporting officer from commenting on any facts or observations he may consider appropriate concerning the officer's performance, so long as no reference is made to the proceedings.

(g) Officers Under Instruction. Reporting officers shall make a special effort to obtain meaningful and relevant information on officers under instruction. Where feasible, periodic interviews are encouraged along with a review of some academic projects or papers completed by the officer reported on.

(h) Completing the Fitness Report. The reporting officer shall complete Sections 13 through 20 of the fitness report form. The following guidelines exclude sections that are self-explanatory.

Section 13. Performance Information Considered in Completing This Report

a. Information. This item is designed to permit reporting officers to indicate for each method of appraisal the quality of information used in evaluating performance. This term will reflect the reporting officer's confidence in the information on which appraisals are based.

b. Documentation. Reference in this item and append to the original and each copy of the fitness report form material which pertains to outstanding or unsatisfactory evaluations. (See Article 10-A-4.)

Section 14. Performance of Duties. Overall Performance is a composite evaluation which can be arrived at in any manner most meaningful to the reporting officer. It need not be an arithmetic average of the various performance items, nor must it be limited to the performance items listed on the form. However, if the overall performance mark differs significantly from the marks on other completed performance items, the discrepancy should be explained in Section 18. Accordingly, the marks assigned in this section reflect the degree of professional qualification attained in duties and assignments listed in Section 12. Marks shall be in comparison with other officers of his grade and approximate length of service. Marks for inadequate performance shall be amplified in Section 18, to differentiate between performance that is inadequate because of lack of experience through no fault of the officer concerned and performance that is inadequate because of a lack of ability, diligence or attentiveness. Inadequate performance due only to inexperience shall not be evaluated as unsatisfactory. Normally this lack of experience is only found in newly commissioned officers or in officers first assigned to a particular type of duty. These officers should readily adjust to the new environment and in short time begin to perform adequately.

Section 15. Attitude. The mark in this section reflects an overall willingness to have the officer in your command.

Section 16. Comparison. This section is an overall professional estimate of the officer reported on in comparison with other officers of the same grade.

Section 17. Personal Qualities. The personal qualities listed under this section are sufficiently broad to encompass nearly all the personal attributes of importance to the Service. The text in small print following each factor is for guidance only in arriving at a final evaluation for that factor; it is not intended to limit the scope or meaningfulness of the evaluation of the factor. The overall evaluation of personal qualities item is a composite evaluation which can be arrived at in any manner most meaningful to the reporting officer. It should not deviate radically from an average of the personal qualities items marked. Significant deviation between the overall evaluation and the individual personal qualities should be explained in Section 18.

Section 18. Comments

a. This section provides space for:

1. Comments in support of marks or attached material.

2. Summary of factual information which the reporting officer believes will round out the fitness report and make it more meaningful. Remarks should be consistent with and amplify the evaluations in Sections 14 through 17.

b. The reporting officer should approach the preparation of this section with a desire to communicate his evaluation of the officer reported on. He should be particularly careful of how it reads. What does it really say? Is it clear and precise? Does it describe the officer's performance or is it composed of a series of unsupported adjectives? The completion of this section can be simplified by following an outline, as

suggested below for consideration by reporting officers:

1. List facts, personal qualities and specific achievements either not covered by the scaled items or not given sufficient emphasis by the scaled items.

2. Reporting officers are encouraged to comment on specific strengths and weaknesses in performance or personal qualities which will supplement the evaluations provided elsewhere on the form and enhance the information available for use in assignments and selections. Inclusion of specific weaknesses will not be interpreted as unsatisfactory performance as defined in paragraph (e) of this Article unless the reporting senior affirmatively states that the weakness is serious and that the officer is not performing satisfactorily in grade. If the weakness is deemed a serious one and indicates unsatisfactory performance, the reporting officer must check item 20.

3. Describe self-improvement efforts.

4. Describe accomplishments in the field of civic responsibilities.

5. State readiness for specific future assignments or recommend an assignment which appears to be needed in order to improve the professional development of the officer.

6. Comment on any civil conviction as outlined in Article 8-C-3 (b).

7. Add any comments that integrate and round out the evaluation.

c. Every effort shall be made to limit comments to the space provided on the fitness report forms. However, it is permissible to attach an extra sheet if the space provided is not sufficient. If an extra sheet is attached, this sheet must also be signed by the reporting officer.

d. In support of the provisions of Article 10-A-15 (b), until such time as Form CG-4328A is revised, add as the final comment in Section 18 for chief warrant officers (with less than 2 years' service), lieutenants (junior grade) and ensigns, the following:
"The provisions of Article 10-A-15, Personnel Manual, have been complied with."

Section 19. This section is to be marked by the reporting officer only. In order to correctly mark this section, the reporting officer should maintain a file of fitness reports previously completed on officers being evaluated. The block "first report" is for use by the reporting officer when submitting his first fitness report on an officer.

Section 20. Unsatisfactory Reports. See paragraph (e) of this Article.

(i) Disposition of Fitness Report. The reporting officer shall retain a copy of the completed fitness report and appendages for his personal file, returning the Fitness Report Receipt of that copy dated and signed to the officer reported on. This copy of the fitness report shall be destroyed after it has served its purpose. It shall not be turned over or shown to a relieving officer. Submit the original and one signed copy of the fitness report to the reviewing officer.

10-A-13 REVIEWING OFFICER AND HIS RESPONSIBILITY

(a) The Reviewing Officer. The report of each officer shall be reviewed in the chain of command as follows:

(1) The Commandant (G-P) shall review all reports in which a flag officer, a district commander or a commanding officer of a Headquarters unit is the reporting officer except reports on commanding officers of Reserve Training Vessels. The Commandant (G-P) shall also review all reports for which a reviewing officer is not otherwise designated. The authority contained herein may be delegated at the discretion of the Commandant (G-P).

(2) The Commandant (G-R) shall review the reports on commanding officers of Reserve Training Vessels.

(3) The area commander shall review reports, including concurrent reports, on commanding officers of high endurance cutters, icebreakers, communications stations, and air stations

)erating C-130 aircraft for which he is)t designated as reporting officer as set)rth in Article 10-A-11. This authority hall not be delegated.

(4) The district commander shall re-iew the reports on commanding officers f district units and division chiefs on is staff, except in those cases where he , the reporting officer.

(5) The district commander or chief f staff shall review the reports on offi-ers not included in subparagraph (4) bove. However, the district personnel fficer may be authorized to review the eports on officers not included in sub-aragraph (4) above, who are serving in ie grades of lieutenant and below. All utstanding or unsatisfactory reports of fficers under his command shall be hown to the district commander for nformation.

(6) The commanding officer of a eadquarters unit shall review the report n all officers in his command except in iose cases where he is the reporting of-.cer.

(7) The Commandant will review the itness reports of all flag officers.

(8) In no case shall a junior review report on the fitness of a senior.

(9) Fitness reports submitted for ontinuity purposes only do not require eview.

(b) Responsibility of Reviewing Officers. Reviewing officers have a command re-ponsibility to carry out a careful review f fitness reports.

(1) The reviewing officer shall check itness reports for obvious errors, omis-ions, inconsistencies between numerical valuations and written comments and ailures to comply with instructions. When necessary, he shall return the re-ort to the reporting officer for correc-ion and resubmission.

(2) Reviewing officers when comment-ng on fitness reports should do so by sep-rate attachment. They should not add heir comments to the fitness report form tself or change any marks. Unsatisfac-ory comments of a reviewing officer and he fitness report shall be referred to the officer reported upon for comment as required by Article 10-A-12 (e) as if the fitness report itself were unsatisfactory.

(3) Provided that the reviewing officer insures that the requirements in paragraphs (1) and (2) above have been met and provided that he cannot agree or disagree with the report due to lack of personal observation, he may sign the report in Section 23 and check the "Completeness Only" block. In all other cases either the "Concur" block or "Comments attached" block shall be checked.

(4) After completing his review the reviewing officer will forward the original and one copy of the report to Commandant (G-PO-4).

10-A-14 ACTION AT HEADQUARTERS

(a) All fitness reports are reviewed in the Office of Personnel. Reports are checked for completeness and accuracy. Information relating to experience, training, ability, qualifications and special talents are noted for necessary action or assignment purposes. Outstanding reports are reviewed by the Commandant (G-P).

(b) Unsatisfactory reports are referred to the Commandant (G-PS) and the Commandant (G-PO) for comment and then forwarded to the Commandant (G-P) with appropriate recommendation before filing. The act of filing a report does not constitute an approval in the sense that the report is satisfactory and that no future action will be taken. It denotes only that the report is in due form and correct.

(c) After a fitness report is received and filed at Headquarters, the Fitness Report Receipt will be returned to the officer reported on. If the report is not received in Headquarters on time, Commandant (G-PO) will direct its submission.

(d) From time to time a notation will be made on the Fitness Report Receipt indicating missing reports or periods not covered by a report. Upon receipt, the officer concerned shall take immediate

steps to obtain the missing report or explain the period not covered by a report.

(c) Periodically, reporting officers request to change marks and comments on fitness reports or to append additional comments to fitness reports entered into an officer's official record. Commandant (G-P) may authorize the modification of a fitness report which contains an administrative error. However, fitness reports marks and comments will normally not be altered, withdrawn or changed nor will new documents be appended or old documents removed from the report.

10-A-15 PERSONNEL EVALUATION AND COUNSELING

(a) Counseling and career guidance in the grades of lieutenant and above and chief warrant officers with 2 or more years of commissioned service should not, as a general rule, be tied directly to fitness reporting. This use of fitness reports tends to overemphasize the quantitative aspects of performance in a particular assignment and inhibits broader counseling designed to assist in career development. There is also a strong temptation to predict future personnel actions on the basis of limited performance data. This can be extremely misleading to both the counseling officer and the officer being counseled.

(b) For chief warrant officers with less than 2 years of service and lieutenants (junior grade) and below, the fitness report form is designed to serve as a counseling aid as well as a performance measure and shall therefore be shown to the officer reported on.

(c) Fitness reports containing unsatisfactory marks or comments are of critical importance to officers of all grades. Each officer being reported on in such a manner must be shown these reports and given the opportunity to take corrective action and reply. (See Article 10-A-12 (e).)

(d) Commanding officers are encouraged to counsel each officer in their command at least once a year, regardless of how good or poor the officer's performance has been. The counseling situation may be formal or informal. It should communicate the commanding officer's general appraisal of the officer and how he feels the officer can improve his potential, not only in his current assignment but also in the future. Generally, the best time for a counseling session is midway in a reporting period. The use of private official correspondence is authorized for this counseling when a personal interview is not possible.

(e) Since broad and general counseling in the grades of lieutenant and above, and chief warrant officers with 2 or more years of service is not dependent upon specific recorded marks, the fitness report should not, as a general rule, be the basis for this counseling. However, since officers in the grade of lieutenant (junior grade) and below, and chief warrant officers with less than 2 years of service are considered to be in a period of training and indoctrination, counseling can be improved by reference to specific items in the fitness report form. Especially valuable for this purpose are the 30 items in the performance section which indicate to junior officers those performance factors considered most important by the Service.

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APPENDIX C
COMMANDANT INSTRUCTION 1611.7 WITH COVER LETTER

DEPARTMENT OF TRANSPORTATION
UNITED STATES COAST GUARD

MAILING ADDRESS
U S COAST GUARD G-PO-2/72
WASHINGTON D C 20590
PHONE 202-426-0935

1611
13 SEP 1978

From: Chief, Office of Personnel
To: All Commissioned Officers

Subj: The Officer Fitness Reporting System

1. Commandant Instruction 1611.7 was recently published to inform the officer corps of the present status of our fitness reporting system. It contains information which should be of vital importance to you since there is no one single item which has more impact upon your career as a Coast Guard officer than your fitness report. As part of my efforts to educate the officer corps concerning our fitness reporting system, I am providing you with a personal copy of this Instruction. Read it carefully. The time and effort will be well spent.

2. Those of you who are preparing, reporting or reviewing officers should devote utmost attention to your fitness report responsibilities. Only through your efforts can our fitness report system remain a viable tool for evaluating our officers. I would also encourage you to insure that your subordinates, especially junior officers, develop a complete understanding of the fitness report process. Your cooperation in this very important matter is sincerely appreciated.

W. H. STEWART
Chief, Office of Personnel

Encl: (1) COMDTINST 1611.7

DEPARTMENT OF TRANSPORTATION
UNITED STATES COAST GUARD

MAILING ADDRESS
U.S. COAST GUARD G-PO-2/72
WASHINGTON D.C. 20590
PHONE: 202-426-0935

COMDTINST 1611.7

13 SEP 1978

COMMANDANT INSTRUCTION 1611.7

Subj: Officer Fitness Reporting System

1. PURPOSE. The purpose of this Instruction is to inform the officer corps of the status of its fitness reporting system, to publish revised service norms for use when writing fitness reports, and to urge the support of all preparing, reporting, and reviewing officers in reversing the alarming inflationary trend in fitness report marks.

2. BACKGROUND.

a. The Coast Guard's present fitness report system commenced in 1965. It has been a successful one mainly because it was well received by most Coast Guard officers, and because the majority of reporting officers attempted to adhere to the system by objectively marking officers reported on, particularly during its early years. As a result, our system has existed for nearly fourteen years without suffering the plight of other evaluation systems. For various reasons, performance data in each of these other systems became meaningless because of the accelerated inflation of marks.

b. Our system is now in danger, however. In recent years many reporting officers have permitted their marking patterns to become considerably more lenient than the service standard. We have made an effort to encourage those reporting officers to compare their marking distributions with the standard in the hope that each reporting officer would strive to maintain all fitness reports at or near that standard, thereby ensuring some degree of equity in our fitness reporting system. The Reporting Officer Feed-back system (ROF) was part of this effort.

2. c. Unfortunately, the trend toward inflated marks has not only continued, but has recently accelerated at an alarming rate. Enclosure (1) indicates for each grade, ensign through captain, the actual distribution of fitness report marks of reports processed for the period 01FEB77 through 16FEB78. This data is being provided for the information of all officers because of the seriousness of the situation now facing us.

3. DISCUSSION. The causes of fitness report inflation are complex and to a large extent psychological--related to the confidence the officer corps has in the system. The following, however, represent the chief causes of the inflationary pressure on the marks:

a. Limited growth in the size of the officer corps, and very little voluntary attrition have combined to make our promotion process increasingly competitive. Within the pyramidal billet structure required by law, the Coast Guard's promotion system operates on an "up or out" basis, whereby time in grade until promotion and opportunity for selection are dependent upon growth of the billet structure, or attrition, or both. Our growth rate has slowed in the 1970's from the rapid expansion of the 1960's. Meanwhile changes in economic conditions over the same period have made a Coast Guard career increasingly attractive for many officers thus reducing the rate of voluntary attrition. As a result, the promotion process for the officer corps has become more competitive (illustrated in enclosure (2)). This trend, taken with the fact that our present "best qualified" system of promotion forces out less competitive officers, means that an entirely competent officer who would have been promoted several years ago may be passed over today. Many officers, after seeing competent officers they have known being passed over, have incorrectly assumed these officers were passed over because they were "victims" of fitness report marks inflation. Thus the evaluation system is often blamed unjustly for the effects of the increasingly competitive system.

3. b. Evaluation systems tied to promotion and pay tend to create pressure on the evaluator to inflate subordinates' marks. Few of us enjoy the thought that we might be the cause of a subordinate's being passed over for promotion and forced out of the Service.

(1) Many reporting officers have asked "What is an appropriate fitness report score that will ensure an officer will be promoted?" Whereas the concern of these officers is understandable, it is not the responsibility of the reporting officer to determine whether an officer should be promoted or passed over. The reporting officer's job is to evaluate the performance and personal qualities of his subordinates. In a "best qualified" promotion system like ours, it is the job of promotion boards to determine who shall be promoted by comparing each officer with his/her peers on the basis of his/her total record which includes a number of factors in addition to fitness report scores.

(2) Some reporting officers may feel they are doing their subordinates justice by inflating their marks in an attempt to ensure promotion. In reality these reporting officers are creating the opportunity for injustice to occur to other officers who are being marked by reporting officers trying to adhere to the system. As the fitness report marks become more and more inflated, the distribution of marks grows narrower and narrower, and it becomes increasingly difficult for promotion boards to differentiate between officers. Thus the chance for error and inequity in the promotion system increases.

c. A lack of information has contributed to suspicion and mistrust in the officer corps in regard to the fitness reporting system. Although reporting officers must accept responsibility for inflation of the fitness report marks, the Office of Personnel acknowledges its part in the problem as well. In recent years more and more reporting officers began to doubt the fitness reporting system and the degree to which the Experienced Distribution of Marks printed on the fitness

3.c(cont'd) report forms reflected the actual distribution. The fact that competent officers have been passed over by recent promotion boards due to the increased competition has served to fuel the suspicion about our fitness reporting system. This uncertainty has likely been a factor which has caused many reporting officers to assign higher marks to ensure their subordinates would not be hurt by a future promotion board. Possibly more timely information in addition to the ROF reports could have relieved some of these doubts.

d. The overall competence and performance level of officers in general may be at a higher level than in the past. There is greater selectivity today, not only in selecting officers competing for promotion, but in choosing candidates to enter the Service. More officers are sent to specialized training, followed by assignment to specialized tours where they become essentially resident experts in their field. Tour lengths are longer today, affording officers the opportunity to gain more competency in their jobs. All these factors may contribute to a rise in the level of officer competency and performance (reflected in fitness report marks) independent of any faults with the fitness report system or weakness in reporting officers.

4. MAINTAINING OUR PRESENT FITNESS REPORT SYSTEM.

a. There is no one single item that has more impact upon the career of an officer than the fitness report. To operate without such a system would be a move away from what is now a fairly rational, impartial system based upon merit, toward a more subjective system that would be increasingly susceptible to bias and inequity. The document is used not only by promotion boards, integration boards, and extension boards, but by boards for selection to command, postgraduate school, and flight training as well. It also has an impact upon an officer's assignment as it often determines the level of responsibility or whether he/she is more deserving in the competition for a particular assignment. It is difficult to imagine how certain personnel decisions would be made without the information provided by our fitness report.

4. b. Our fitness reporting system is still workable, but its usefulness is in serious jeopardy. Every effort must be made to reverse the present inflationary trend. As part of this effort a set of desired marks distributions for each grade has been constructed. These distributions, shown in enclosure (3), shall be used by preparing and reporting officers as first step goals in reversing the inflationary trend in fitness report marks.

c. It is necessary to have the support and compliance of all reporting seniors if our efforts to save our fitness reporting system are to be successful, and if we are to administer our system fairly and equitably for all officers. Each reporting officer, as he evaluates his subordinates, must have confidence that other reporting officers are complying as well. Therefore as a measure to ensure that all reporting seniors will attempt to adhere to the system, Commandant (G-P) has asked for the assistance of flag officers in initiating a review procedure which will minimize cases of noncompliance.

5. ACTION.

a. Beginning immediately, preparing and reporting officers shall use the new Desired distributions of enclosure (3), for the appropriate grade of the officers being reporting on, as the norm in comparing how each officer stands in relation to other officers of similiar length of service in grade. The Experienced distributions printed on the present fitness report forms (Items 14 and 17) shall be disregarded.

b. Revised fitness report forms, which will reflect the new Desired distributions, are being prepared but will not be available for use until approximately 1 January 1979. Until the new forms are available, the present forms [CG-4328A(Rev.3-72), CG-4328B(Rev.3-72), and CG-4328C(Rev.11-72)] shall continue to be utilized. Reporting Officers shall make the following statement in the COMMENTS section (Item 18) of the present form:

"I have marked this officer in accordance with the new Desired distributions for the grade of (enter appropriate grade of

5.b(cont'd) officer being reported on) as specified by COMDTINST 1611.7."

c. Reviewing officers shall scrutinize the reports submitted to them and discuss with reporting officers any reports which appear inconsistent with the new Desired distributions. They shall also ensure that the statement required by paragraph 5 b. above is made by each reporting officer, and shall return any incomplete reports for correction.

d. Use of the present fitness report forms is authorized only until the new forms are available. All copies of the present forms shall be destroyed upon receipt of the new forms.

e. Commandant (G-P) will continue to monitor the distribution of fitness report marks and will report to the officer corps the progress that is made toward reversing the inflationary trend. In the meantime, a study group within the Office of Personnel is investigating modifications to our fitness report system. This effort is taking into account all of the ideas and recommendations received from the officer corps and all officers will be apprised of the results as they become known.

J. P. Stewart
Chief of Staff

Encl: (1) Actual Distribution of Fitness Report Marks
(2) Increasing Competition for Promotion
(3) New Desired Fitness Report Norms

Distribution (SDL. NO. 107)
A: a c d e (3); f g h m v (2); i j k n o r t u (1)
B: c (20); f (15); g (11); e (10); i (8); r (7); h (6); n (5); b k l m (3); j (2); o p q s t (1)
C: a (5); b d e k n (3); g (2); c f i l m p q s v x y z (1)
D: a (2); b d j l m v x z (1)
E: k l m n o (1)
F: None
ONE COPY TO EACH COMMISSIONED OFFICER

Enclosure (1) to COMDTINST 1611.7

13 SEP 1978

ACTUAL DISTRIBUTION OF FITNESS REPORT MARKS

CAPTAINS & COMMANDERS

	OVERALL PERFORMANCE								
Scale Value on Fitness Report	9	8	7	6	5	4	3	2	1
Service Norm/Experienced Distribution Shown on Fitness Report & on ROF CAPT & CDR COMBINED 1972	15%	25%	25%	20%	10%	3%	2%		
Actual Distribution (Feb77-Feb78) CAPT & CDR COMBINED	40%	48%	11%	1%					
Actual Distribution (Feb77-Feb78) CAPT ONLY	36%	52%	11%	1%					
Actual Distribution (Feb77-Feb78) CDR ONLY	42%	45%	11%	2%					

	ATTITUDE ITEM								
Scale Value on Fitness Report	9		7		5		3		1
Actual Distribution (Feb77-Feb78) CAPT & CDR COMBINED	61%		34%		4%	1%			
Actual Distribution (Feb77-Feb78) CAPT ONLY	56%		39%		4%	1%			
Actual Distribution (Feb77-Feb78) CDR ONLY	64%		31%		4%	1%			

	COMPARISON ITEM								
Scale Value on Fitness Report	9		7		5		3		1
Actual Distribution (Feb77-Feb78) CAPT & CDR COMBINED	10%		76%		13%	1%			
Actual Distribution (Feb77-Feb78) CAPT ONLY	8%		75%		16%	1%			
Actual Distribution (Feb77-Feb78) CDR ONLY	11%		76%		11%	2%			

	PERSONAL QUALITIES								
Scale Value on Fitness Report	9	8	7	6	5	4	3	2	1
Service Norm/Experienced Distribution Shown on Fitness Report & on ROF CAPT & CDR COMBINED 1972	15%	25%	25%	20%	10%	3%	2%		
Actual Distribution (Feb77-Feb78) CAPT & CDR COMBINED	40%	48%	11%	1%					
Actual Distribution (Feb77-Feb78) CAPT ONLY	40%	47%	12%	1%					
Actual Distribution (Feb77-Feb78) CDR ONLY	40%	48%	10%	2%					

Enclosure (1) to COMDTINST 1611.7

13 SEP 1978

ACTUAL DISTRIBUTION OF FITNESS REPORT MARKS
LIEUTENANT COMMANDERS & LIEUTENANTS

	OVERALL PERFORMANCE								
Scale Value on Fitness Report	9	8	7	6	5	4	3	2	1
Service Norm/Experienced Distribution Shown on Fitness Report & on ROF LCDR & LT COMBINED 1972	10%	25%	30%	25%	5%	3%	1%		1%
Actual Distribution (Feb77-Feb78) LCDR & LT COMBINED	25%	55%	18%	2%					
Actual Distribution (Feb77-Feb78) LCDR ONLY	32%	53%	13%	2%					
Actual Distribution (Feb77-Feb78) LT ONLY	20%	57%	21%	2%					

	ATTITUDE ITEM								
Scale Value on Fitness Report	9		7		5		3		1
Actual Distribution (Feb77-Feb78) LCDR & LT COMBINED	56%		37%		6%		1%		
Actual Distribution (Feb77-Feb78) LCDR ONLY	63%		31%		5%		1%		
Actual Distribution (Feb77-Feb78) LT ONLY	52%		40%		7%		1%		

	COMPARISON ITEM								
Scale Value on Fitness Report	9		7		5		3		1
Actual Distribution (Feb77-Feb78) LCDR & LT COMBINED	15%		79%		5%		1%		
Actual Distribution (Feb77-Feb78) LCDR ONLY	18%		77%		4%		1%		
Actual Distribution (Feb77-Feb78) LT ONLY	13%		80%		6%		1%		

	PERSONAL QUALITIES								
Scale Value on Fitness Report	9	8	7	6	5	4	3	2	1
Service Norm/ Experienced Distribution Shown on Fitness Report & on ROF LCDR & LT COMBINED 1972	10%	25%	30%	25%	5%	3%	1%	1%	
Actual Distribution (Feb77-Feb78) LCDR & LT COMBINED	26%	53%	18%	2%	1%				
Actual Distribution (Feb77-Feb78) LCDR ONLY	33%	52%	13%	1%	1%				
Actual Distribution (Feb77-Feb78) LT ONLY	22%	54%	21%	2%	1%				

Enclosure (1) to COMDTINST 1611.7

13 SEP 1978

ACTUAL DISTRIBUTION OF FITNESS REPORT MARKS
LIEUTENANTS(JG) & ENSIGNS

	OVERALL PERFORMANCE								
Scale Value on Fitness Report	9	8	7	6	5	4	3	2	1
Service Norm/Experienced Distribution on Fitness Report & on ROF LTJG & ENS COMBINED 1972	5%	15%	15%	35%	20%	5%	3%	2%	
Actual Distribution (Feb77-Feb78) LTJG & ENS COMBINED	9%	39%	31%	17%	3%	1%			
Actual Distribution (Feb77-Feb78) LTJG ONLY	13%	46%	28%	11%	2%				
Actual Distribution (Feb77-Feb78) ENS ONLY	5%	29%	35%	24%	5%	2%			

	ATTITUDE ITEM								
Scale Value on Fitness Report	9		7		5		3		1
Actual Distribution (feb77-Feb78) LTJG & ENS	35%		47%		16%	2%			
Actual Distribution (Feb77-Feb78) LTJG ONLY	42%		46%		10%	2%			
Actual Distribution (Feb77-Feb78) ENS ONLY	26%		48%		23%	3%			

	COMPARISON ITEM								
Scale Value on Fitness Report	9		7		5		3		1
Actual Distribution (Feb77-Feb78) LTJG & ENS	8%		70%		20%	2%			
Actual Distribution (Feb77-Feb78) LTJG ONLY	10%		77%		12%	1%			
Actual Distribution (Feb77-Feb78) ENS ONLY	6%		61%		30%	3%			

	PERSONAL QUALITIES								
Scale Value on Fitness Report	9	8	7	6	5	4	3	2	1
Service Norm/Experienced Distribution on Fitness Report & on ROF LTJG & ENS COMBINED 1972	5%	15%	15%	35%	20%	5%	3%	2%	
Actual Distribution (Feb77-Feb78) LTJG & ENS	9%	41%	32%	14%	3%	1%			
Actual Distribution (Feb77-Feb78) LTJG ONLY	12%	49%	28%	9%	2%				
Actual Distribution (Feb77-Feb78) ENS ONLY	5%	30%	37%	22%	4%	2%			

3

Enclosure (2) to COMDTINST 1611.7

13 SEP 1978

INCREASING COMPETITION FOR PROMOTION

Stated Zone Opportunity for Promotion to:	1968	1977
CAPT	94.00%	84.31%
CDR	96.8 %	88.9 %
LCDR	95.3 %	88.2 %
LT	97.9 %	92.4 %

Enclosure (3) to COMDTINST 1611.7

13 SEP 1978

NEW DESIRED FITNESS REPORT NORMS

CAPTAINS/COMMANDERS

OVERALL PERFORMANCE

Scale Value on Fitness Report	9	8	7	6	5	4	3	2	1
Desired Distribution	25%	40%	20%			15%			

PERSONAL QUALITIES

Scale Value on Fitness Report	9	8	7	6	5	4	3	2	1
Desired Distribution	25%	40%	20%			15%			

LIEUTENANT COMMANDERS

OVERALL PERFORMANCE

Scale Value on Fitness Report	9	8	7	6	5	4	3	2	1
Desired Distribution	20%	40%	25%			15%			

PERSONAL QUALITIES

Scale Value on Fitness Report	9	8	7	6	5	4	3	2	1
Desired Distribution	20%	40%	25%			15%			

LIEUTENANTS AND ALL CHIEF WARRANT OFFICERS WITH MORE THAN TWO YEARS SERVICE

OVERALL PERFORMANCE

Scale Value on Fitness Report	9	8	7	6	5	4	3	2	1
Desired Distribution	15%	40%	30%			15%			

PERSONAL QUALITIES

Scale Value on Fitness Report	9	8	7	6	5	4	3	2	1
Desired Distribution	15%	40%	30%			15%			

LIEUTENANTS JUNIOR GRADE AND ALL CHIEF WARRANT OFFICERS WITH LESS THAN TWO YEARS SERVICE

OVERALL PERFORMANCE

Scale Value on Fitness Report	9	8	7	6	5	4	3	2	1
Desired Distribution	10%	30%	35%	20%		5%			

PERSONAL QUALITIES

Scale Value on Fitness Report	9	8	7	6	5	4	3	2	1
Desired Distribution	10%	30%	35%	20%		5%			

ENSIGNS

OVERALL PERFORMANCE

Scale Value on Fitness Report	9	8	7	6	5	4	3	2	1
Desired Distribution	5%	25%	30%	30%	5%		5%		

PERSONAL QUALITIES

Scale Value on Fitness Report	9	8	7	6	5	4	3	2	1
Desired Distribution	5%	25%	30%	30%	5%		5%		

APPENDIX D

1. RANK
2. numerical score
3. community
4. staff, operational, training
5. job requirements, special circumstances
6. time in job
7. direct or indirect information
8. comments score for performance
9. comments score for personal qualities
10. comments score for unsupported adjectives
11. specific weaknesses
12. self-improvement efforts
13. readiness for future assignments
14. needs for development (assignment)
15. accomplishments in civic responsibility
16. integrative/rounding-out comments
17. specifics addressing reasons for evaluation score, including level of expectation of person in the job.

1 2 3 4 5 6 7 8 9 10

11 12 13 14 15 16 17

REPORT # _____

SAMPLE SCORING FOR COMMENTS SECTION OF FITNESS REPORTS
(FOR APPENDIX D)

COMMENTS ON REPORT: (section 18)

CDR. Jones has performed every assigned duty flawlessly. I consider him to be the most outstanding officer of his rank I have known. His willingness to work on his own time and follow through in minute detail guarantee outstanding results. We lead our service in .... due mainly to his efforts. He is a recognized authority in this field and has been called upon time and again to represent the Coast Guard in..... His expansive working stature with other Federal agencies and local entities is without peer. This career officer is congenial, tireless and professional. His contagious enthusiasm has a positive and forceful effect on all who work for or with him. His loyalty and integrity are of the highest order. Cdr. and Mrs. ... are welcome and valued participants in both the official and external social activities as well as community support functions. Cdr. ... has been selected for Captain; I expect his outstanding performance to continue. Cdr. ... strongly supports and carries out the Commandant's policy on equal employment as outlined in .... I would recommend him for assignment to positions of higher responsibility without reservation.

SCORES ASSIGNED:

1. performance comments:
2. personal qualities comments:
3. score for unsupported comments:
4. integrative comments:

APPENDIX E
NINTH CG DISTRICT NOTICE 1611 OF 16 OCTOBER 1978 WITH USAF GUIDE FOR PREPARING FITNESS REPORTS

DEPARTMENT OF TRANSPORTATION
UNITED STATES COAST GUARD

Address reply to
COMMANDER (d)
Ninth Coast Guard District
1240 East 9th St.
Cleveland, Ohio 44199
Phone:

D9NOTE 1611
16 October 1978

NINTH DISTRICT NOTICE 1611

Subj: Fitness Report; preparation of

1. In fairness to both the individual officer and the service, it is extremely important to have accurate, articulate and descriptive fitness reports submitted. This is particularly true in the comments section of reports. In many instances the tendency of reporters is to repeat in the comments section items or characteristics which are reported elsewhere in the report. For example "... performs his duties in an excellent manner", or "displays outstanding leadership and initiative" are redundant since these items have specific ratings elsewhere in the report. Anyone who has participated in any level of selection board knows that when numerical ratings are equal, the subjective evaluation of comments becomes the basis for weighing candidates.

2. To assist addressees in improving the quality of comments, I am enclosing a copy of an Air Force guide to preparing officers. I have found it to be extremely helpful in helping to describe the qualities of individuals. It is suggested this material be made available to all preparing officers.

A. F. FUGARO

Encl: (1) Air Force guide for preparing fitness reports

Dist: (SDL 107)
A: cdm
B: a (G-CMA) (3); b (CAA) (2); c (Div/Comp. only)
C: abdem
D: d
E: kmno
F: bcmp

The most troublesome aspect of writing a fitness report is finding concise descriptive terms in which to express an officer's personality qualities. The text give below was developed from a study of many Air Force Officer Efficiency Reports. It discusses terms found in these reports and compares specific vs. imprecise wording. It is furnished to assist officers in writing fitness reports.

A. Lists of terms to assist a Reporting Officer in determining personality qualities of officers reported on. The terms which follow represent an effort to help in outlining a personality by classifying certain traits under manner, presence, character, and the like. It is not to be understood that this is a specified "breakdown" of a personality into its constituent parts. It is merely an attempt to simplify the task of the rating officer by offering him a list of descriptive words and by drawing his attention to personality qualities often overlooked, and to do this by simple, non-technical terms. Each category should be read from left to right.

Manner: (Outward qualities) This category needs no explanation. It is self-explanatory.

commanding	dynamic	magnetic	bright
engaging	amiable	well-mannered	courteous
alert	affable	diplomatic	urbane
frank	polished	bland	be nign
gracious	genial	kindly	receptive
suave	likable	pleasant	pleasing
easy	considerate	convincing	conciliatory
warm	boisterous	loquacious	verbose
talkative	animated	sedate	serene
calm	tranquil	composed	mild
deliberate	unassuming	earnest	reserved
taciturn	retiring	restrained	unobtrusive
austere	unresponsive	shy	aloof
cold	frigid	affected	blunt
curt	brusque	crude	obstrusive
disdainful	inconsiderate	offensive	obsequious

Presence. (Outward Qualities.) This is the unit mental impression that certain officers produce on others. Occasionally an officer will have real and definite presence which can be summed up in one word, such as "attractive." However, it must be recognized that this presence-so called--is often compounded of minor personality traits which make a definite and rounded impression on the observer. In such cases, often the better way of summing up an officer is to ascertain by analysis what these minor traits are and then list them.

Encl (1) to D9NOTE 1611, dtd 10/16/78

On the other hand, an officer's presence may be characterized by some outstanding trait which everyone at first meeting recognizes and thereafter, consciously or unconsciously, mentally affixes to the officer. In this respect, note the word "slovenly." Compare this word with the word "impressive." What causes an officer to give a slovenly impression could easily be listed, but it is not necessary. The word "slovenly" is sufficient. What makes him "impressive" is often baffling and not easily ascertained without study, nor does the word carry a clean-cut image to the reader. Therefore, it may be necessary at times to analyze and list the qualities that make the individual impressive. However, proper selection of words under other headings will round out the picture.

distinguished	impressive	dignified	tidy
immaculate	spruce	neat	sober
dapper	foppish	colorless	slovenly
severe	pompous	untidy	unattractive
unimpressive	undistinguished	undignified	
odd	eccentric	attractive	

Disposition -- (Outward qualities generally denoting possession of inward mental or emotional traits.) An officer possessing one or more of these qualities may impress the rating officer favorably or unfavorably, but this is not to be taken as a sign that the officer is what he appears on the surface. Do not rate his personality or character on these surface qualities alone.

The rating officer should not make a long mental jump and conclude that an officer outwardly reflects inward qualities--though quite often this is true. For instance, a cheerful, tactful man with a generous disposition may be all that he seems, and yet in character be weak, cautious and disloyal when pressure is put on him. Again, he may have none of the finer inward qualities that certain outward qualities suggest, but is using them for a front-consciously or unconsciously. At the same time a morose, gloomy individual who has occasional periods of irritation may be steady, thoroughly loyal, with a high degree of moral courage, and absolutely trustworthy, yet too often he will not receive credit for his sterling worth.

spirited	impetuous	impulsive	animated
excitable	good-humored	humorous	cheerful
good-natured	good-tempered	helpful	generous
tactful	cooperative	adaptable	forebearing
complaisant	lenient	indulgent	quiet
pacific	placid	mild	phlegmatic
serious	retiring	indifferent	evasive
insipid	gullible	submissive	spiritless
meek	gloomy	pessimistic	morose
irritating	conceited	obstructionist	impotent
ill-tempered	hypercritical	supercilious	complaining
fault-finding	resentful	truculent	

Encl (1) to D9NOTE 1611, dtd 10/16/78

Character - - (Inward traits, to be learned only after a close association.) A man's character in his most precious asset. Too much care cannot be taken in selecting the exact words to describe it. One can make a mistake in describing other personal attributes and the harm will not be great, but no mistake can be tolerated here. Unless the rating officer knows the subordinate's character he should not attempt to use this word. He should confine himself to things he knows. These would certainly be manner, presence, disposition, mentality, and the like.

audacious	unstable	hypercritical	flaccid
unswerving	weak	untrustworthy	fickle
stable	self-sacrificing	venturesome	unsteady
self-reliant	faithful	dominant	idealistic
cautious	open-minded	selfcontrolled	magnanimous
shallow	opinionated	resolute	trustworthy
broad-minded	negative	selfish	unselfish
narrow-minded	time-serving	aggressive	tolerant
bigoted	irresolute	firm	just
disloyal	altruistic	tenacious	thoughtful
bold	sincere	domineering	biased
dominating	unbiased	superficial	intolerant
courgeous	earnest	dependent	

loyal (to superiors) (to subordinates)
has (unquestioned, excellent, good, average, fair, indifferent, poor) loyalty
responsibility (seeks, avoids, accepts)

Mentality - - (Type of and ability to use intellectual equipment).

original thinker	independent	creative thinker	imaginative
analytical	brilliant	astute	perspicacious
clever	able	keen	bright
sharp	quick-witted	agile-minded	quick thinker
versatile	ingenious	judicial	calculating
discerning	logical	sound	careful
level-headed	long-headed	far-sighted	balanced
practical	theoretical	academic	formalist
normal	medium	ordinary	average
mediocre	undistinguished	unimaginative	inept
impractical	one-track mind	second-rate	dull
obtuse	unwise	inane	stupid

Knowledge - - (By "knowledge" is meant the amount of subject matter an individual possesses, and not necessarily his ability to use it. Knowledge should not be mistaken for intelligence or wisdom.)

Encl (1) to D9NOTE 1611, dtd 10/16/78

intellectual	scholarly	erudite	dabbler
accomplished	lettered	enlightened	unconversant
widely-read	well-read	half-scholar	unerudite
shallow	smatterer	unlearned	
uninformed	unlettered	crass	
unscholarly	ignorant	learned	
thick	cultivated	well-grounded	

informed (highly, well, moderately, poorly) on world affairs, professional affairs, cultural matters.

Application - - (An emotional quality, the product of many factors, which manifests itself in the way the individual attacks and carries through his problem or duties.)

zealous	lazy	negligent	procrastinating
quick	enthusiastic	energetic	rapid
tireless	persistent	diligent	untiring
precise	industrious	determined	thorough
punctilious	painstaking	methodical	deliberate
steady	meticulous	resourceful	willing
sluggish	intermittent	casual	slow
careless	unresourceful	indifferent	vacillating
indolent			

initiates action (speedily, slowly, excellently, well, reluctantly,) fails to perform duties (speedily, well) performs duties (slowly, excellently, hesitantly)

Results - - (Degree, kind or type of results obtained.)

unfailing	certain	decisive	reliable
unquestionable	unmistakable	efficient	successful
sure	excellent	effectual	dependable
good	accurate	capable	ordinary
quick	fair	adequate	tolerable
moderate	presentable	passable	second-rate
inaccurate	unreliable	ineffectual	unsatisfactory
undistinguished	commonplace	questionable	
poor	worthless	positive	

Encl (1) to D9NOTE 1611, dtd 10/16/78

3. Positive, or active attributes.	Negative, or passive attributes.
1. Active, energetic. Quick and fiery. Restless. Athletic.	1. Inactive. Passive. Slow and sure. Steady. Studious
2. Bold. Aggressive. Firm. Just. Positive type. Forceful. Persistent.	2. Timid. Cautious. Weak. Reserved. Negative type.
3. Conceited. Vain. Cocksure. Proud. Argumentative. Insistent on "rights."	3. Unassuming. Taciturn. Unresponsive.
4. Optimistic.	4. Pessimistic.
5. Impatient. Intolerant. Stubborn. Prejudiced. Opinionated.	5. Patient. Tolerant. Pliable Easily turned. Ability to admit his own errors. Lenien
6. Self-confident. Intuitive. Poised. No waste motion. Courage of convictions. Power of decision.	6. Lacks confidence. Inclined to putter. Becomes rattled. Becomes confused. Hesitant.
7. Talkative. Nervous.	7. Quiet. Calm. Lethargic. Sobe
8. Radical. Original. Unorthodox. Resourceful. Ingenious. Imaginative. Experimenter.	8. Conservative. Orthodox. Conventional. Painstaking. Lacks imagination. Indoctrinated.
9. Brusque. Abrupt. Hot-tempered. Outspoken.	9. Courteous. Tactful. Considerate.
10. Grasps essentials. Not especially interested in petty details. Will accept 80% of a job.	10. Slow to grasp essentials. Falls back on details as a refuge. Thorough. Careful. Particular about details.
11. Mentally alert. Reasonable. A good thinker. Well balanced. Mentally coordinated. Well-informed. Quick apprehension. Intelligent. Thinks ahead. Quick perceptions.	11. Mentally dull. Not an orderly thinker. Jumps to conclusions Lacks mental coordination. Learns slowly.
12. Versatile. Interested in non-professional matters. Observant.	12. A "wheel horse." A plodder. One-track mentality. Unobservant.

Encl (1) to D9NOTE 1611, dtd 10/16/78

13. Inspires respect of his subordinates.	13. Does not inspire confidence in subordinates.
14. Works well under pressure.	14. May burn out or crack under pressure.
15. Pleasing personality.	15. Colorless personality.
16. Good sense of humor.	16. Lacking in humor. Matter-of-fact. Serious type.
17. Willing to assume responsibility. Self-reliant.	17. Avoids, or is unwilling to assume responsibility.
18. Capable.	18. Undependable.
19. Serious.	19. Flippant. Humorous.

Encl (1) to D9NOTE 1611, dtd 10/16/78

C. The following examples are considered unsuitable and without value for purposes of information for selection boards or other interested agencies. A close analysis of these examples will reveal repetition of entries that appear elsewhere on the Fitness Report.

"A quiet and efficient officer, devoted to his profession. Should be sent to the Command and General Staff School."

"An excellent officer, conscientious and dependable at all times. With training and experience he will give a good account of himself."

"This officer is intelligent and cooperative, and attentive to duty. With more training he will develop into a valuable officer."

"This officer is tidy, cooperative, intelligent, and obtains good results. A fine officer in all respects."

"A superior officer in every respect. His knowledge of gasoline motors was instrumental in the successful accomplishment of recent motor tests required by War Department Instructions."

"A very able officer, whose outstanding qualification is his ability to instruct in the tactics and technique of his branch. Would make an excellent instructor at the Command and General Staff School."

"This officer is mentally alert, very energetic and conscientious in the performance of his duties. He has plenty of force, is aggressive, and a good leader."

"This officer is very capable, handling his assigned duties conscientiously and willingly. Sets a good example in neatness and attention to duty."

Encl (1) to D9NOTE 1611, dtd 10/16/78

D. Examples of comments by Reporting Officer considered to give a complete word picture of officers being reported on. These are not to be construed as examples from which a reporting senior should make a selection. A study of them should give the reporting officer a guide to follow in preparing his comments after a thorough analysis has been made of the personality, characteristics, and attributes of an officer reported on.

#1

A neat, dignified officer with a pleasant mien. Has an erect carriage and soldierly appearance. An excellent manager and organizer who is willing to accept any assignment no matter how difficult, he, nevertheless, leans too heavily on his subordinates and is too easily influenced by them, accepting their suggestions and recommendations with little or no analysis or consideration. An excellent conversationalist with a ready answer. He talks with force and finality though, on occasion, his answers when analyzed, turn out to be "just words." Emotionally stable, he readily and quickly adapts himself to changing situations. He has a good sense of organization and excellent administrative ability. However, his leniency in the management of his subordinates and the uncritical manner in which he accepts their work tends to reduce his effective value. This matter has been discussed with him, but he seems to be inherently reluctant to question or challenge the veracity and soundness of judgement of those who work for him.

#2

A personable officer, amiable and likeable. Somewhat of a perfectionist with an inclination toward stubborness, he at times irritates those with whom he works. He is an able organizer and administrator. He is reluctant to accept responsibility unless specifically assigned to him. He is positive in the handling of his subordinates but inclined to overly berate them when they fail to meet his perfectionist standards. He has an excellent knowledge of CG Supply administration. An original thinker, he has the ability to devise organizational setups and procedures that insure efficiency and economy of operation. Conscientious, honest and thorough, he is somewhat lacking in cooperativeness and is impatient in dealing with those who do not have his technical proficiency in a specialized field. I generally evaluate this officer at somewhat above average although his personal characteristics prevent full realization of his potentialities.

#3

A dynamic, aggressive officer who has specialized in the Maintenance Field. Industrious, thorough and accurate in his work and extremely conscientious, he has an exceptionally good knowledge of shop organization and administration. Alert, stable, with a creative mind, he is able to develop effective and efficient procedural methods and to prepare excellently written and easily understood instructions covering them. Cooperative, always willing to assume added responsibility and assist others, he is exceptionally valuable in conference or group work and has outstanding ability to reconcile divergent views and devise workable and acceptable solutions to

problems involving numerous coordinate agencies. Quiet and gentlemanly in demeanor, officer is tactful, though positive in the handling of his subordinates and quickly gains their respect and loyalty. An excellent conversationalist, with the ability to clearly and logically state his views, he is a convincing talker. Officer has clearly demonstrated that he possesses a high degree of leadership and that he is eminently qualified to assume the greater responsibility of the next higher rank.

#4

A genial, mild-mannered officer of average competence. Overly considerate of his subordinates, he accepts mediocre work from them. He readily accepts those responsibilities which are specifically assigned to him and in their discharge produces acceptable results. Officer is reasonably methodical and reliable although at times he is careless in checking the accuracy of his facts. Officer is unaggressive and inclined to follow rather than lead. He is best suited for routine jobs of an administrative nature that do not require strong leadership.

#5

A neat, gentlemanly officer, courteous, pleasant and cooperative. Forceful, with an alert, imaginative mind, he works methodically and carefully and produces accurate results. Officer welcomes responsibility and continually seeks to broaded his field of knowledge and increase his value. He possesses a high degree of initiative and requires a minimum of supervision; with a progressive viewpoint and sound judgement, his analyses of problems and his choice of methods of accomplishing desired results are exceptionally good. Officer is definitely of the leader type and has clearly demonstrated his capacity for effectively and efficiently directing and econtrolling the activities of others and for assuring high quality results. He is exceptionally valuable in conference or group work. He expresses himself clearly and logically and his views are respected by those with whom he works.

#6

A very shy and reserved officer, inclined at times to moodiness. Neat, and of average appearance, he is not a good "mixer," although those who have succeeded in penetrating his reserve find that he has alert imaginative mind and that he can be an interesting conversationalist. Studious, hard working and conscientious, officer is methodical and deliberate; his analyses and conclusions are sound and his knowledge of the principles of organization and of military administration, particularly in the personnel field, is exceptionally good. He is cooperative and willingly accepts those responsibilities assigned him. However, his inherent diffidence limits his aggressiveness and initiative and precludes an overall evaluation above "excellent."

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#7

An alert, dynamic officer, of athletic build and fine appearance. Highly intelligent, with a creative mind, his leadership qualities are outstanding. An exceptionally good speaker, he presents his ideas clearly and effectively and inspires confidence in the soundness of his views. Honest, sincere, with the highest integrity, he is meticulously thorough in his work. A rapid and intense worker, he produces accurate and timely results. Highly cooperative, always willing to help, he is invariably a leader in conference or group discussions. Widely read, with a retentive memory, he continually seeks to increase his knowledge and broaden his experience. His personal leadership characteristics and the tactful and understanding manner in which he handles his subordinates secures their complete loyalty and causes them to exert every effort to earn his "well done." An outstanding officer in every respect who has repeatedly demonstrated that he is extraordinarily well-qualified for promotion.

#8

An intelligent, stable officer with an orderly mind. Exceptionally quick to learn, with the ability to grasp pertinent detail rapidly, he is extremely versatile and adaptable. Meticulously accurate, with a high sense of personal responsibility for the quality of his work. He requires an absolute minimum of supervision. Genial, cooperative, with the courage of his convictions and the ability to express his views clearly and concisely, he is of great value in group work, in which he is consistently a discussion leader. He excels in the preparation of studies and reports. An imaginative thinker, with a retentive memeory, he has exceptional ability to examine and analyze methods and procedures and to devise ways and means of increasing their effectiveness and efficiency. An excellent executive and administrator, he welcomes responsibility. He gets along extremely well with those with whom he works and secures the cooperation and loyalty of his subordinates whom he guides and directs with understanding and tact.

#9

This officer is a highly qualified specialist as a _____. However, he has little interest outside his specialty and he avoids, to the maximum extent possible, any task or responsibility not connected therewith. On occasions, when he is forced to undertake duties outside his specialized field, he performs them carelessly and produces only mediocre results. Within his specialized field, he is energetic, industrious and extremely able; he knows his subject thoroughly and constantly seeks to improve his specialist value. He is both inexperienced and disinterested in Administrative details, and has no desire to become proficient therein. Within his narrow specialty, officer is of exceptionally

high value to the Coast Guard; outside that field, he fails to meet minimum standards of general value expected of a Coast Guard officer. This matter has been discussed with the officer on numerous occasions without appreciable improvement.

#10

This officer is industrious, conscientious and very hard working. Sincere and thorough, though somewhat unimaginative and stodgy, he is best suited for routine jobs which are adequately covered by detailed instructions. Highly accurate and methodical in all that he does, he is a slow worker, but makes up for this by willingly working long hours. He has difficulty in expressing his views, and his preoccupation with minor details frequently impairs the soundness of his judgement. He requires constant guidance in determining that which is major and that which is minor. Tactful and considerate of his subordinates, he places little reliance on them, and is inclined to retain all responsibility himself. He is unimpressive in appearance and somewhat shy and retiring. His leadership capacity is limited and less than that desirable in an officer of his grade. However, because of his real ability as an "office executive" he is well worth retaining in the military service at this time.

#11

An energetic, conscientious and versatile officer. Possessed of an excellent education, he is studious by nature, meticulously accurate as to his facts and thorough in his work. Highly intelligent, with an alert, active mind, he quickly perceives and correctly evaluates the essential elements of any problem, and arrives at a sound solution. Tactful and diplomatic, he has the ability to express and strongly support his views on controversial subjects without arousing antagonism or resentment. He speaks and writes with great clarity, and for that reason is outstanding as an instructor. Dignified, of excellent appearance, his personality and personal characteristics inspire confidence. Always a leader in group or conference discussions, his views are respected by those with whom he works. Likeable, with an excellent sense of humor, and an ingrained respect for his fellow man, he secures a high degree of loyalty and cooperation from his subordinates, in whom he instills a rare sense of per-onal responsibility for the quality of their work. Officer is a leader in every respect and thoroughly well qualified to assume greater responsibilities.

#12

This officer is of medium height and build, athletically inclined and socially active. A punctilious, conscientious, individual with a keep appreciation of his responsibilities as an officer, he is a rapid, thorough and accurate worker. He directs and supervises his subordinates effectively without

dulling their initiative or deadening their interests. A competent executive and administrator, with a knack for passing on his own knowledge and experience, he is especially adept at fitting people to jobs and in training them quickly. Mentally alert, with a gift for devising organizational structure and administrative procedure, and the ability to express himself clearly, officer is exceptionally well-qualified to examine existing organizations and procedures to determine their economy and efficiency. His tactfulness and adroitness of expression are invaluable assets which greatly increase his overall value. Well liked with a fine sense of humor, this officer is a leader.

#13

A mature, stable officer; intelligent, adaptable and reliable. Methodical, with a tidy mind, he learns quickly and applies his training and experience effectively. Trim appearing, he creates a favorable impression. A good mixer, with a ready sense of humor, he is an excellent conversationalist. Always desirous of increasing his value, he welcomes responsibility. An effective leader, although strict and demanding of his subordinates, he organizes his work efficiently and produces timely results. His work is complete, thorough and accurate, he leaves no loose ends for others to complete. Has the courage of his convictions without being contentious. A very fine officer who will handle any job given him in a highly creditable manner.

#14

This officer has a superb physique and is immaculate in his personal appearance. He has a polished manner, a keen sense of humor, and a charming personality that radiates enthusiasm even under adverse conditions. He is a very well informed man and constantly strives to improve himself by both formal and informal study. He is a facile, but not loquacious, talker. His work produces results quickly and efficiently and without friction. His subordinates respect him and honor his judgement, as he is always willing to and does accept their suggestions when they have merit. He is not satisfied with any performance short of perfection.

#15

A creative officer with an inquisitive mind, who has an uncanny ability to visualize the necessity for corrective or other action. He is always one step ahead. He is quiet in manner, but his resourcefulness, enthusiasm and ingenuity inspire confidence in his associates. His subordinates look to him for advice and guidance in solving knotty problems, and he never fails to give them the assistance they require. He systematically analyzes each problem and habitually reaches a

practical solution. Officer is particularly well qualified for planning duties. Logical in his mental processes, precise in his work, and an exceptionally able writer, his reports and studies are models of clarity and thoroughness.

#16

A quiet, modest, unassuming and intensely loyal officer whose paramount interest is the efficiency of his organization. His loyalty sometimes causes him to execute instructions implicitly, without perceiving that conditions have altered the situation. A lovable, utterly unselfish man of fine character, who is generous and idealistic to a fault. His enthusiastic interest in his organization and his idealism often cause him to accept the suggestions of his subordinates without proper evaluation of the facts presented. His judgement, therefore, cannot always be relied on. His work requires constant supervision, but when closely supervised is always favorably outstanding.

#17

A colorless officer. A self-made man of very limited educational background and far too old for his grade. He lacks the ability to create enthusiasm among his subordinates. By studious application and perseverance he has sought to reduce his educational handicap, but has not been very successful. He is habitually untidy in his personal appearance and dress, and therefore makes an unfavorable impression wherever he goes. He has one redeeming characteristic, and that is his dogged determination to see a job through to completion. He is willing to accept any responsibility, and is at his best when able to work independently. Given personal responsibility and the right to work alone, he will approach a seemingly impossible task with great determination and often achieve astonishing results.

#18

An engaging, tactful officer, good humored, loyal and completely faithful. An industrious and willing worker, extremely accurate in all that he does, he places great emphasis on details. He is reluctant to make decisions in major matters within his scope of responsibility and relies on others for guidance and direction in those matters that represent departure from normal routine. However, operating within a system of prescribed procedures, with standardized and definitely specified methods and means and spelled out functions and responsibilities, officer secures positive and highly accpetable results. In the performance of duties under such conditions, officer effectively controls and directs those workers for whom he is responsible, and insures that they produce desired results.

Encl (1) to D9NOTE 1611, dtd 10/16/78

#19

A brusque, blunt, energetic officer with a somewhat truculent nature and a tendency to irritate those with whom he works. Inclined to be self-centered, and at times moody, he is nevertheless a rapid and decisive worker, aggressive in his follow-through and clever in piecing together the bits and pieces of a job to obtain an overall result. Accepts responsibility readily within his assigned sphere of activity, but given to indifference in the execution of responsibilities outside that sphere. He is positive, albeit somewhat overbearing in the direction of his subordinates, and secures results by drive rather than by leadership. This officer's main value lies in his ability to get things done quickly, effectively and thoroughly. His handicap lies in his poor handling of the human relationship and the resentment and irritation he arouses.

#20

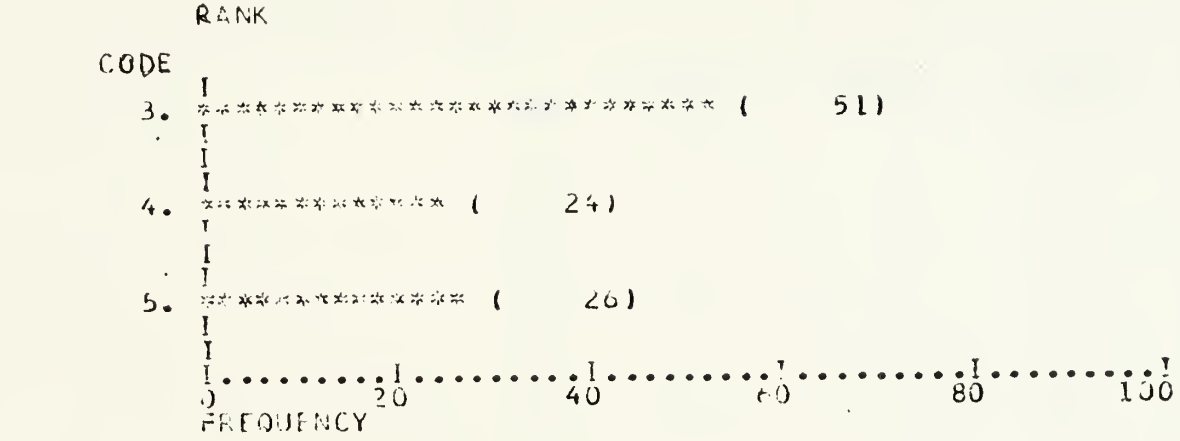
A pessimistic, impatient, outspoken officer, somewhat lethargic and indifferent in the performance of his duties. Slow to grasp essentials, he falls back on detail as a refuge. Opionated, hypercritical, and inclined to be indolent, he frequently assumes an obstructionist attitude and quibbles over details of authority and responsibility. An ineffective leader, incapable of extending or secuirng cooperation, this officer's duty assignments must be confined to jobs wherein he works primarily by himself and in which his work output can be readily determined. Officer's characteristics have been repeatedly discussed with him with marked improvement in performance for a short period and then relapse. In view of the fact that this report covers a period of only 150 days and I have no knowledge of his previous duty performance, I have not initiated action to require this officer to show cause why he should be retained in the service. I will take such action provided there is no marked permanent improvement within the next ninety days.

Encl (1) to D9NOTE 1611, dtd 10/16/78

APPENDIX F
SELECTED COMPUTER OUTPUT FROM STATISTICAL ANALYSIS OF SAMPLE OF 100 CG FITNESS REPORTS

RANK

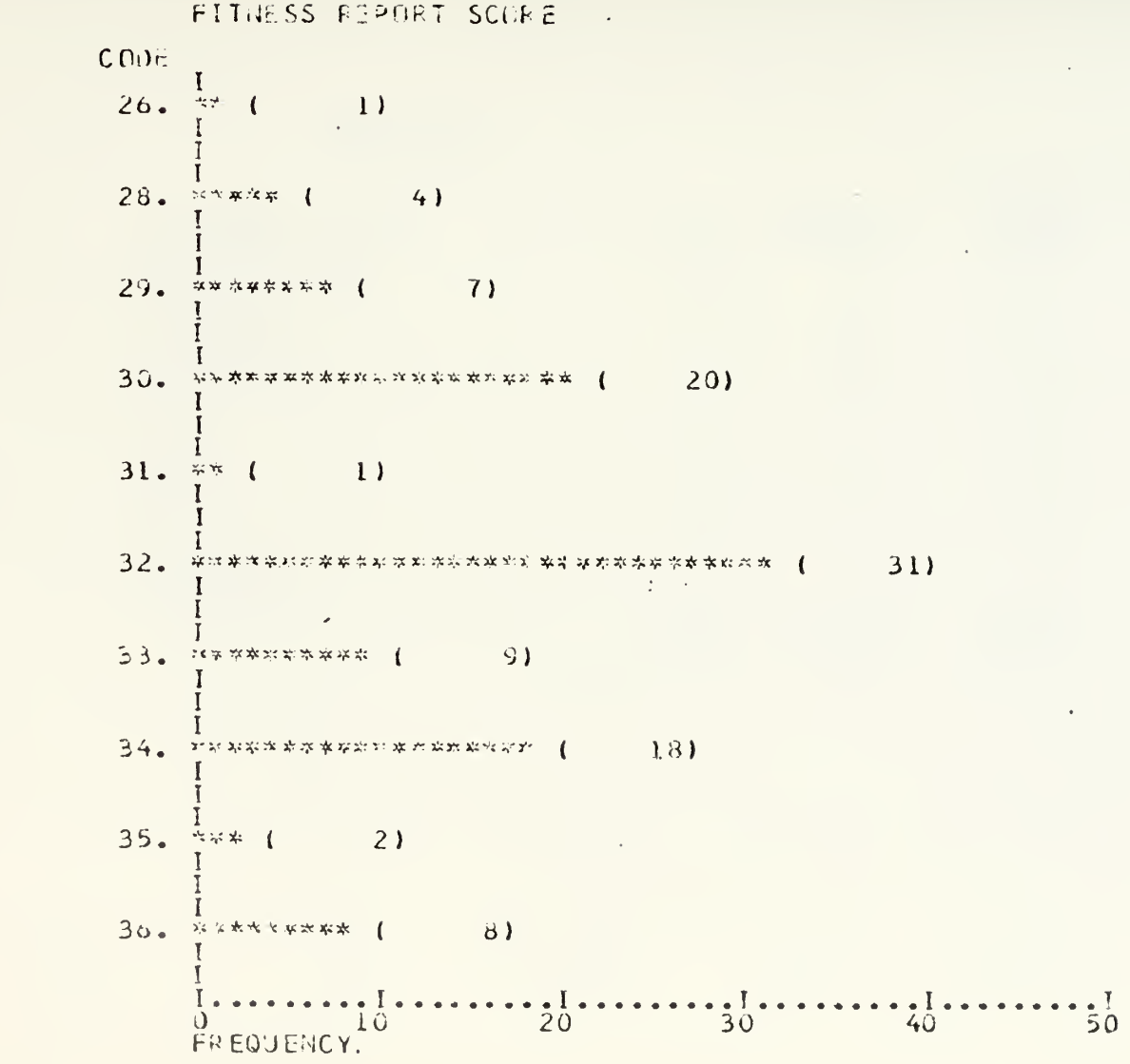
CATEGORY LABEL	CODE	ABSOLUTE FREQ	RELATIVE FREQ (PCT)	ADJUSTED FREQ (PCT)	CUM FREQ (PCT)
	3.	51	50.5	50.5	50.5
	4.	24	23.8	23.8	74.3
	5.	26	25.7	25.7	100.0
	TOTAL	101	100.0	100.0	



MEAN	3.732	STD ERR	0.084	MEDIAN	3.490
MODE	3.000	STD DEV	0.841	VARIANCE	0.708
KURTOSIS	-1.410	SKEWNESS	0.498	RANGE	2.000
MINIMUM	3.000	MAXIMUM	5.000		
VALID CASES	101	MISSING CASES	0		

FITNESS REPORT SCORE

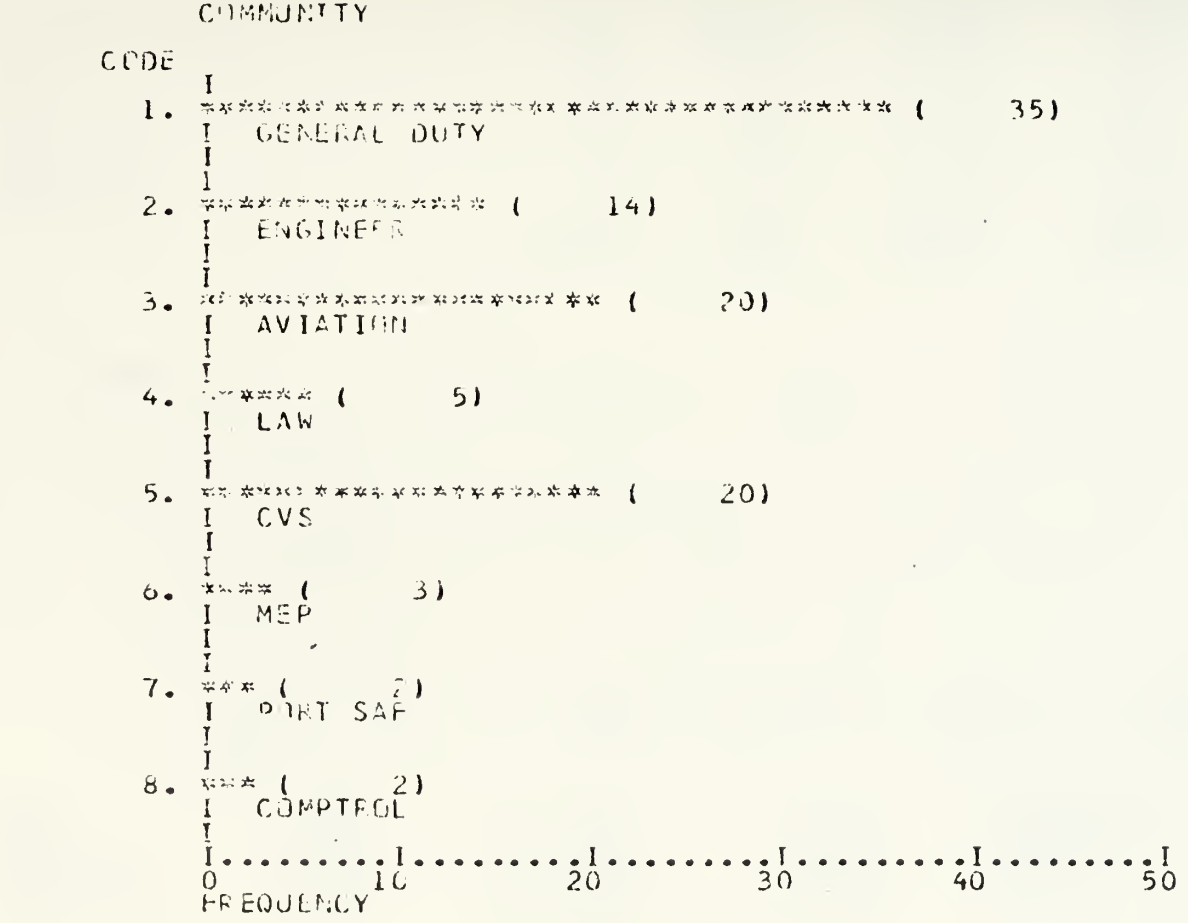
CATEGORY LABEL	CODE	ABSOLUTE FREQ	RELATIVE FREQ (PCT)	ADJUSTED FREQ (PCT)	CUM FREQ (PCT)
	26.	1	1.0	1.0	1.0
	28.	4	4.0	4.0	5.0
	29.	7	6.9	6.9	11.9
	30.	20	19.8	19.8	31.7
	31.	1	1.0	1.0	32.7
	32.	31	30.7	30.7	63.4
	33.	9	8.9	8.9	72.3
	34.	18	17.8	17.8	90.1
	35.	2	2.0	2.0	92.1
	36.	8	7.9	7.9	100.0
	TOTAL	101	100.0	100.0	


FITNESS REPORT SCORE
CODE
26. ** (1)
28. ***** (4)
29. ******* (7)
30. ********** ** (20)
31. ** (1)
32. ********** ********** (31)
33. ********* (9)
34. ********** (18)
35. *** (2)
36. ******** (8)
0 10 20 30 40 50
FREQUENCY.

COMMUNITY

CATEGORY LABEL	CODE	ABSOLUTE FREQ	RELATIVE FREQ (PCT)	ADJUSTED FREQ (PCT)	CUM FREQ (PCT)
GENERAL DUTY	1.	35	34.7	34.7	34.7
ENGINEER	2.	14	13.9	13.9	48.5
AVIATION	3.	20	19.8	19.8	68.3
LAW	4.	5	5.0	5.0	73.3
CVS	5.	20	19.8	19.8	93.1
MEP	6.	3	3.0	3.0	96.0
PORT. SAF	7.	2	2.0	2.0	98.0
COMPTROL	8.	2	2.0	2.0	100.0
	TOTAL	101	100.0	100.0	

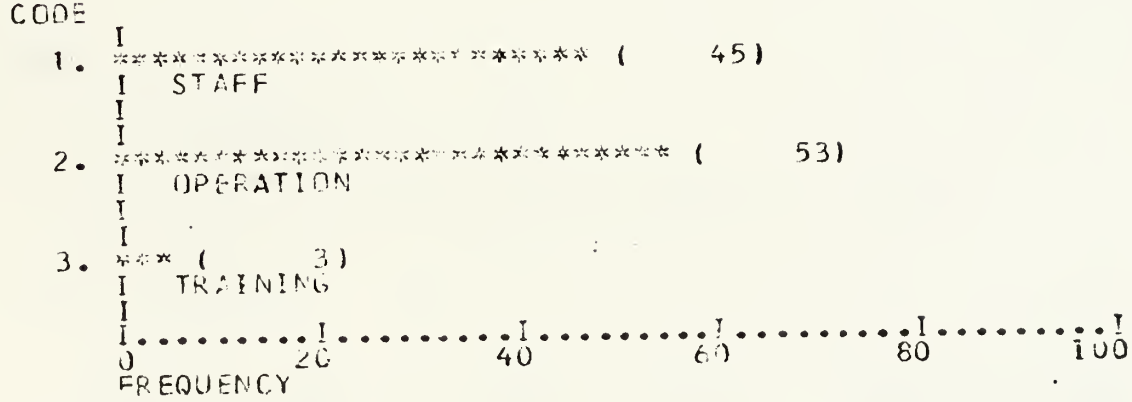
COMMUNITY



MEAN	2.881	STD ERR	0.185	MEDIAN	2.575
MODE	1.000	STD DEV	1.862	VARIANCE	3.466
KURTOSIS	-0.360	SKEWNESS	0.717	RANGE	7.000
MINIMUM	1.000	MAXIMUM	8.000		
VALID CASES	101	MISSING CASES	0		

JOB CLASSIFICATION

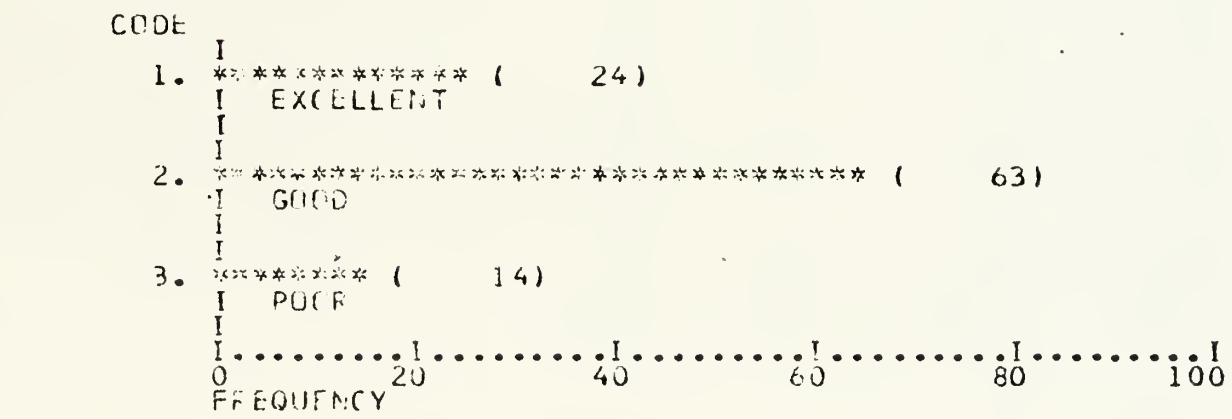
CATEGORY LABEL	CODE	ABSOLUTE FREQ	RELATIVE FREQ (PCT)	ADJUSTED FREQ (PCT)	CUM FREQ (PCT)
STAFF	1.	45	44.6	44.6	44.6
OPERATION	2.	53	52.5	52.5	97.0
TRAINING	3.	3	3.0	3.0	100.0
	TOTAL	101	100.0	100.0	



MEAN	1.584	STD ERR	0.055	MEDIAN	1.604
MODE	2.000	STD DEV	0.553	VARIANCE	0.305
KURTOSIS	-0.942	SKEWNESS	0.203	RANGE	2.000
MINIMUM	1.000	MAXIMUM	3.000		
VALID CASES	101	MISSING CASES	0		

QUALITY OF JOB DESCRIPTION

CATEGORY LABEL	CODE	ABSOLUTE FREQ	RELATIVE FREQ (PCT)	ADJUSTED FREQ (PCT)	CUM FREQ (PCT)
EXCELLENT	1.	24	23.8	23.9	23.8
GOOD	2.	63	62.4	62.4	86.1
POOR	3.	14	13.9	13.9	100.0
	TOTAL	101	100.0	100.0	



MEAN	1.901	STD ERR	0.061	MEDIAN	1.921
MODE	2.000	STD DEV	0.608	VARIANCE	0.370
KURTOSIS	-0.282	SKEWNESS	0.049	RANGE	2.000
MINIMUM	1.000	MAXIMUM	3.000		

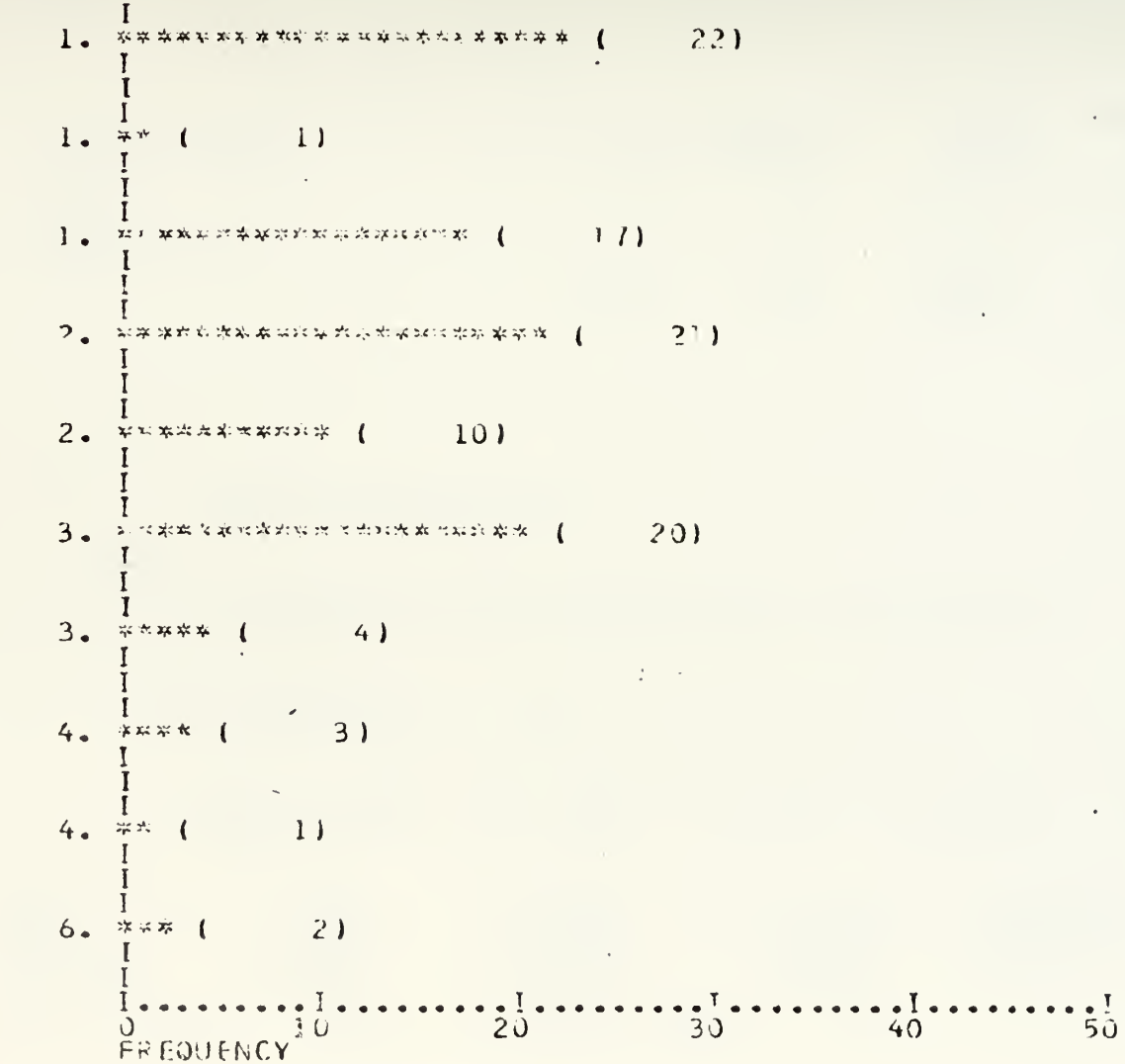
VALID CASES 101 MISSING CASES 0

TIME IN BILLET

CATEGORY LABEL	CODE	ABSOLUTE FREQ	RELATIVE FREQ (PCT)	ADJUSTED FREQ (PCT)	CUM FREQ (PCT)
	1.	22	21.8	21.8	21.8
	1.	1	1.0	1.0	22.8
	1.	17	16.8	16.8	39.6
	2.	21	20.8	20.8	60.4
	2.	10	9.9	9.9	70.3
	3.	20	19.8	19.8	90.1
	3.	4	4.0	4.0	94.1
	4.	3	3.0	3.0	97.0
	4.	1	1.0	1.0	98.0
	6.	2	2.0	2.0	100.0
	TOTAL	101	100.0	100.0	

TIME IN BILLET

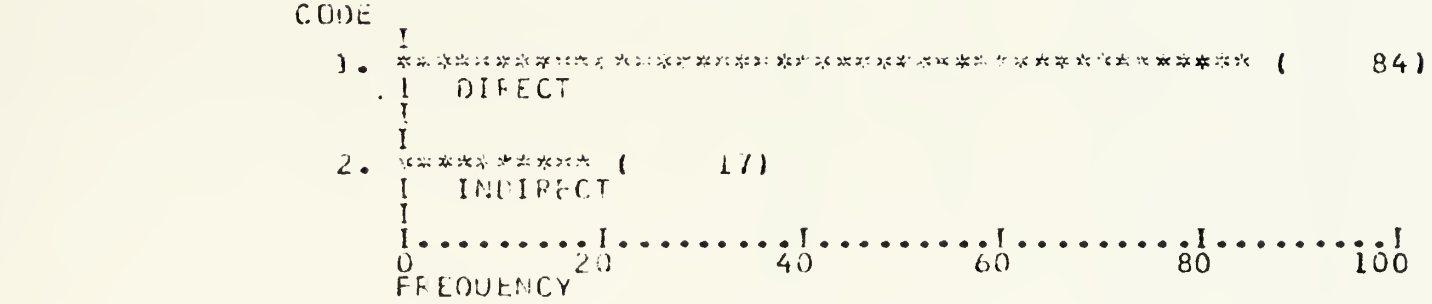
CODE



DIRECT OBSERVATION

CATEGORY LABEL	CODE	ABSOLUTE FREQ	RELATIVE FREQ (PCT)	ADJUSTED FREQ (PCT)	CUM FREQ (PCT)
DIRECT	1.	84	83.2	83.2	83.2
INDIRECT	2.	17	16.8	16.8	100.0
	TOTAL	101	100.0	100.0	

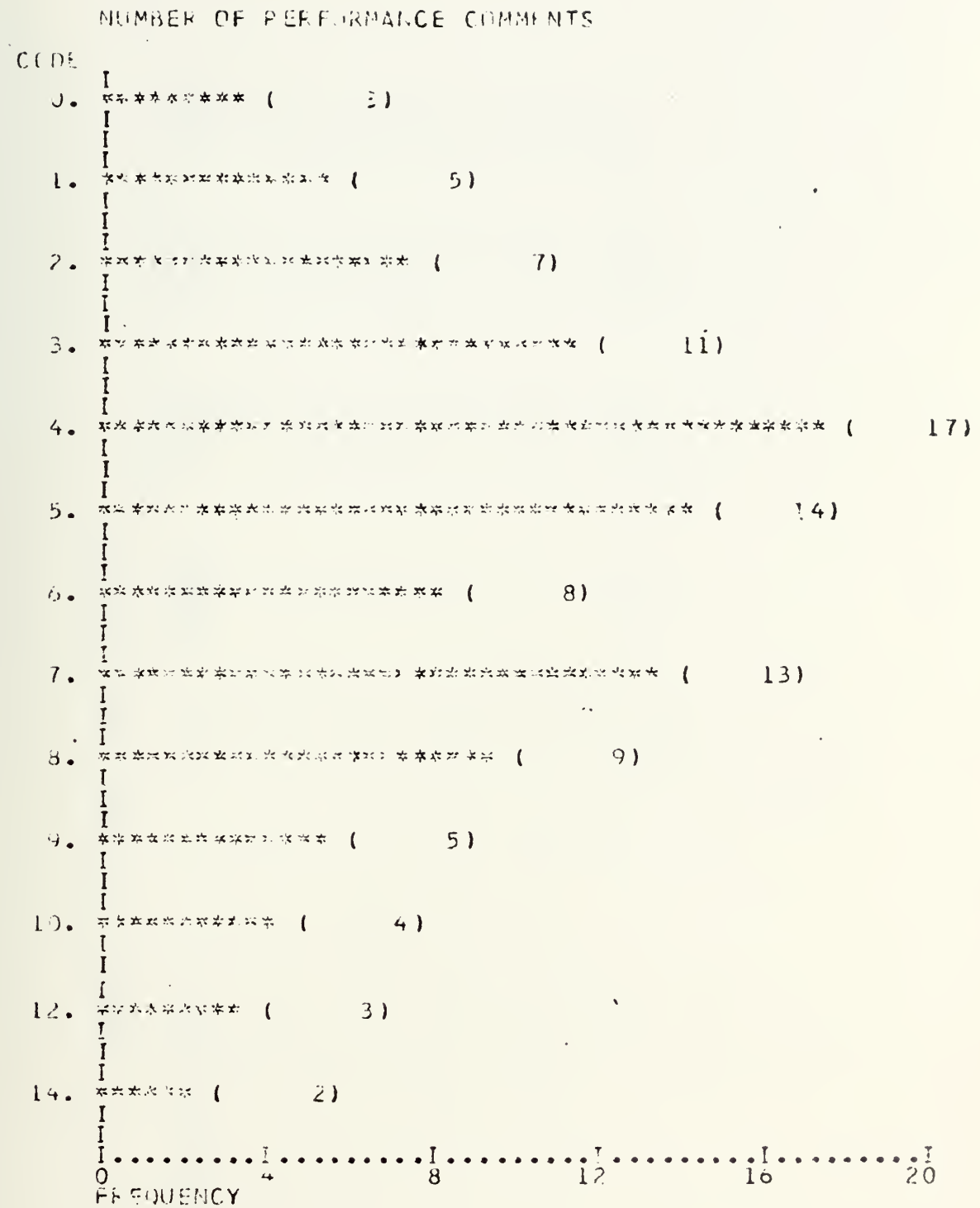
DIRECT OBSERVATION



MEAN	1.168	STD ERR	0.037	MEDIAN	1.101
MODE	1.000	STD DEV	0.376	VARIANCE	0.141
KURTOSIS	1.264	SKEWNESS	1.800	RANGE	1.000
MINIMUM	1.000	MAXIMUM	2.000		
VALID CASES	101	MISSING CASES	0		

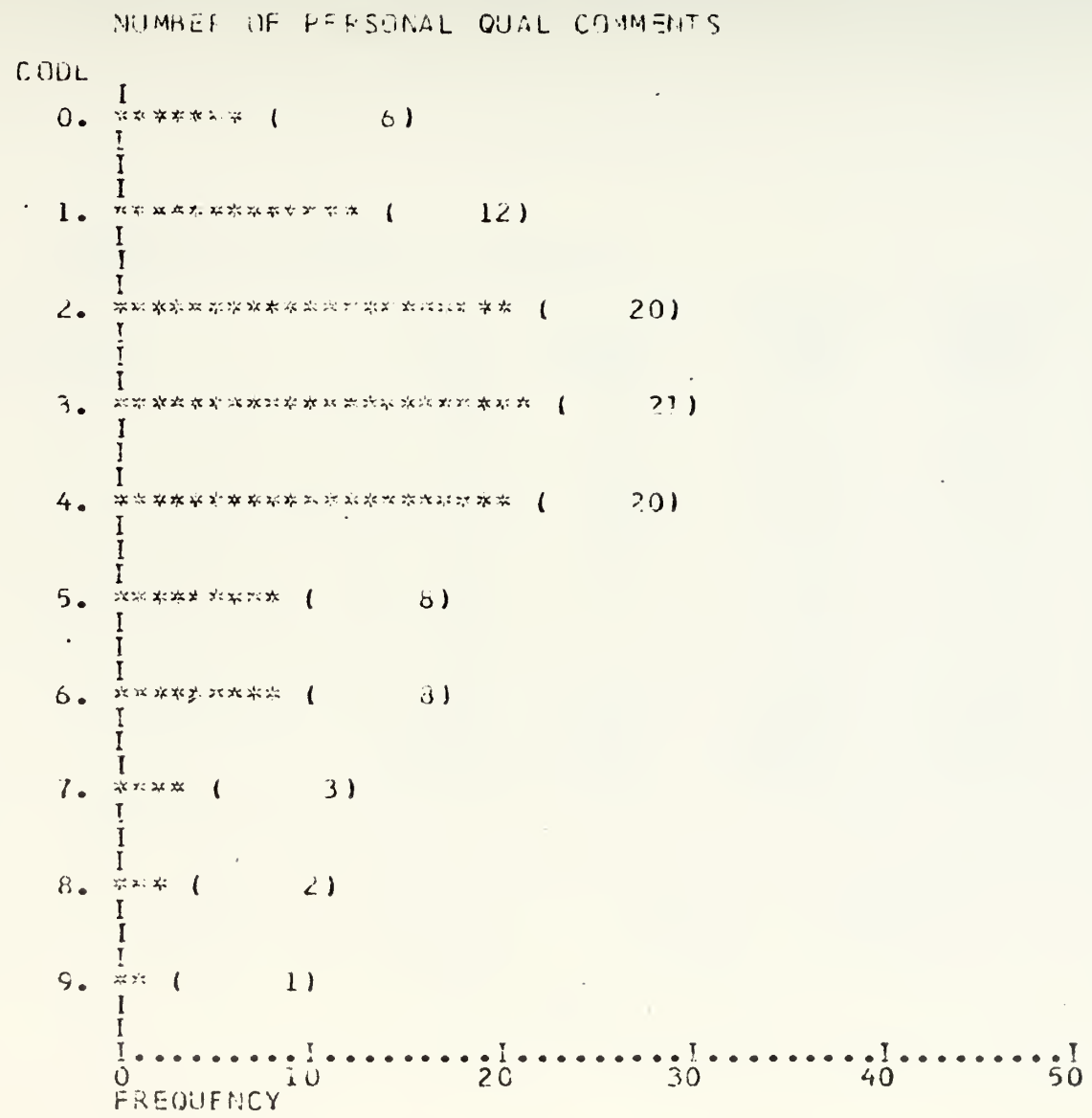
NUMBER OF PERFORMANCE COMMENTS

CATEGORY LABEL	CODE	ABSOLUTE FREQ	RELATIVE FREQ (PCT)	ADJUSTED FREQ (PCT)	CUM FREQ (PCT)
	0.	3	3.0	3.0	3.0
	1.	5	5.0	5.0	7.9
	2.	7	6.9	6.9	14.9
	3.	11	10.9	10.9	25.7
	4.	17	16.8	16.8	42.6
	5.	14	13.9	13.9	56.4
	6.	8	7.9	7.9	64.4
	7.	13	12.9	12.9	77.2
	8.	9	8.9	8.9	86.1
	9.	5	5.0	5.0	91.1
	10.	4	4.0	4.0	95.0
	12.	3	3.0	3.0	98.0
	14.	2	2.0	2.0	100.0
	TOTAL	101	100.0	100.0	


NUMBER OF PERFORMANCE COMMENTS
CODE
0. ********* (3)
1. ********** (5)
2. ********** (7)
3. ********** (11)
4. ********** (17)
5. ********** (14)
6. ********** (8)
7. ********** (13)
8. ********** (9)
9. ********** (5)
10. ********** (4)
12. ********** (3)
14. ********** (2)
0
4
8
12
16
20
FREQUENCY

NUMBER OF PERSONAL QUAL COMMENTS

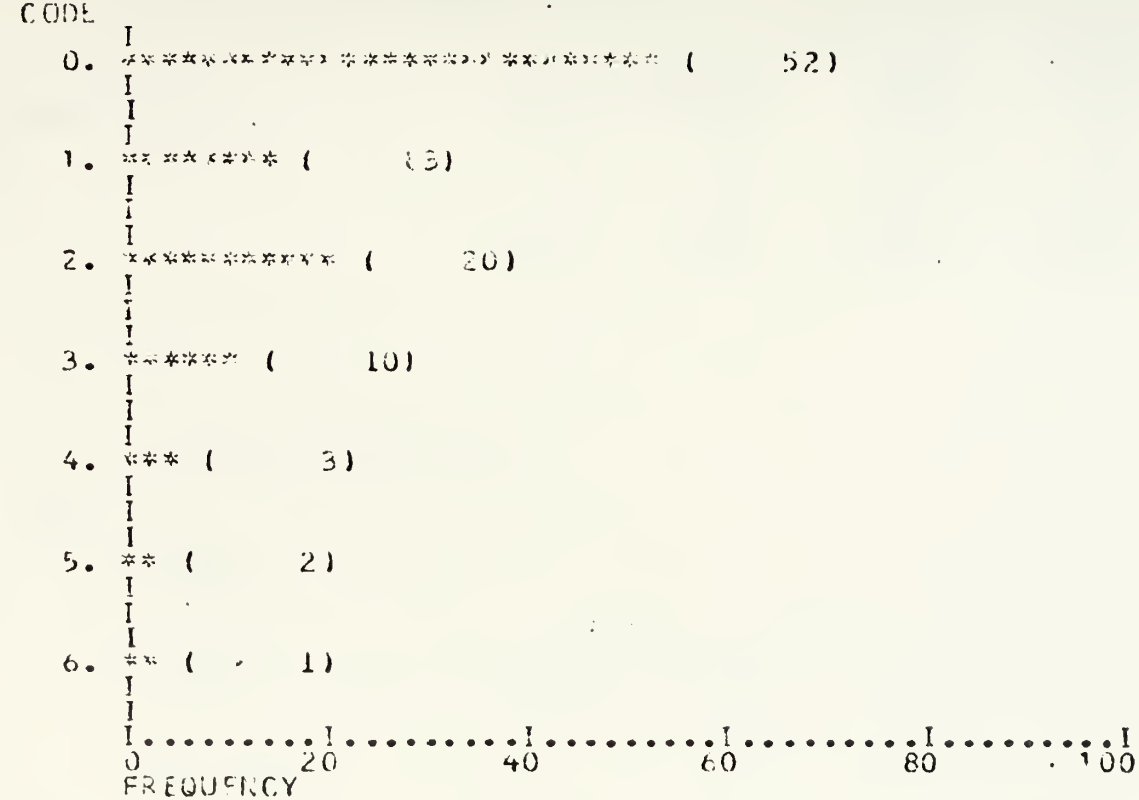
CATEGORY LABEL	CODE	ABSOLUTE FREQ	RELATIVE FREQ (PCT)	ADJUSTED FREQ (PCT)	CUM FREQ (PCT)
	0.	6	5.9	5.9	5.9
	1.	12	11.9	11.9	17.8
	2.	20	19.8	19.8	37.6
	3.	21	20.8	20.8	58.4
	4.	20	19.8	19.8	78.2
	5.	8	7.9	7.9	86.1
	6.	8	7.9	7.9	94.1
	7.	3	3.0	3.0	97.0
	8.	2	2.0	2.0	99.0
	9.	1	1.0	1.0	100.0
	TOTAL	101	100.0	100.0	


NUMBER OF PERSONAL QUAL COMMENTS
CODE
0. ****** (6)
1. ********** (12)
2. ********** (20)
3. ********** (21)
4. ********** (20)
5. ***** (8)
6. ***** (8)
7. *** (3)
8. ** (2)
9. ** (1)
0
10
20
30
40
50
FREQUENCY

NUMBER OF UNSUPPORTED COMMENTS

CATEGORY LABEL	CODE	ABSOLUTE FREQ	RELATIVE FREQ (PCT)	ADJUSTED FREQ (PCT)	CUM FREQ (PCT)
	0.	52	51.5	51.5	51.5
	1.	13	12.9	12.9	64.4
	2.	20	19.8	19.8	84.2
	3.	10	9.9	9.9	94.1
	4.	3	3.0	3.0	97.0
	5.	2	2.0	2.0	99.0
	6.	1	1.0	1.0	100.0
	TOTAL	101	100.0	100.0	

NUMBER OF UNSUPPORTED COMMENTS

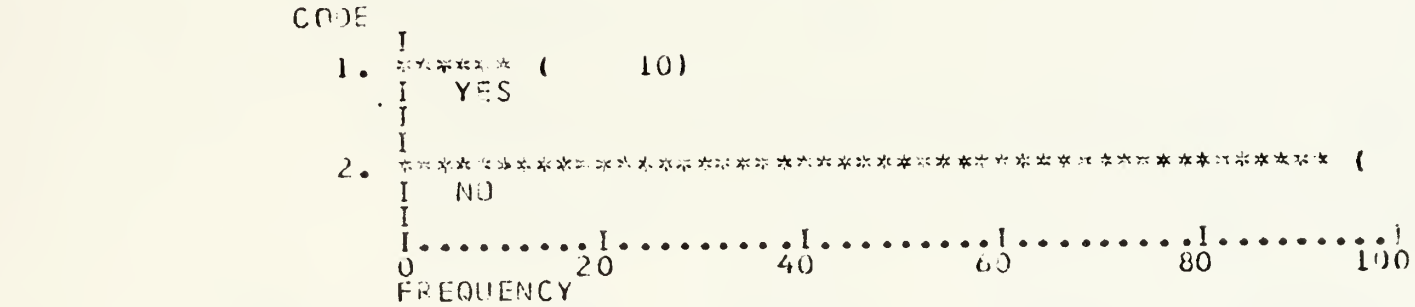


MEAN	1.099	STD ERR	0.139	MEDIAN	0.471
MODE	0.0	STD DEV	1.396	VARIANCE	1.950
KURTOSIS	1.019	SKEWNESS	1.214	RANGE	6.000
MINIMUM	0.0	MAXIMUM	6.000		
VALID CASES	101	MISSING CASES	0		

WEAKNESSES SPECIFIED

CATEGORY LABEL	CODE	ABSOLUTE FREQ	RELATIVE FREQ (PCT)	ADJUSTED FREQ (PCT)	CUM FREQ (PCT)
YES	1.	10	9.9	9.9	9.9
NO	2.	91	90.1	90.1	100.0
	TOTAL	101	100.0	100.0	

WEAKNESSES SPECIFIED

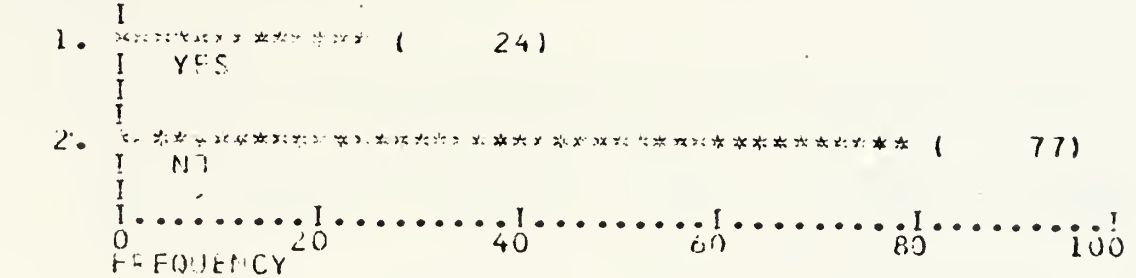


MEAN	1.901	STD ERR	0.030	MEDIAN	1.945
MODE	2.000	STD DEV	0.300	VARIANCE	0.090
KURTOSIS	5.539	SKEWNESS	-2.726	RANGE	1.000
MINIMUM	1.000	MAXIMUM	2.000		
VALID CASES	101	MISSING CASES	0		

SELF-IMPROVEMENT

CATEGORY LABEL	CODE	ABSOLUTE FREQ	RELATIVE FREQ (PCT)	ADJUSTED FREQ (PCT)	CUM FREQ (PCT)
YES	1.	24	23.8	23.8	23.8
NO	2.	77	76.2	76.2	100.0
	TOTAL	101	100.0	100.0	

SELF-IMPROVEMENT

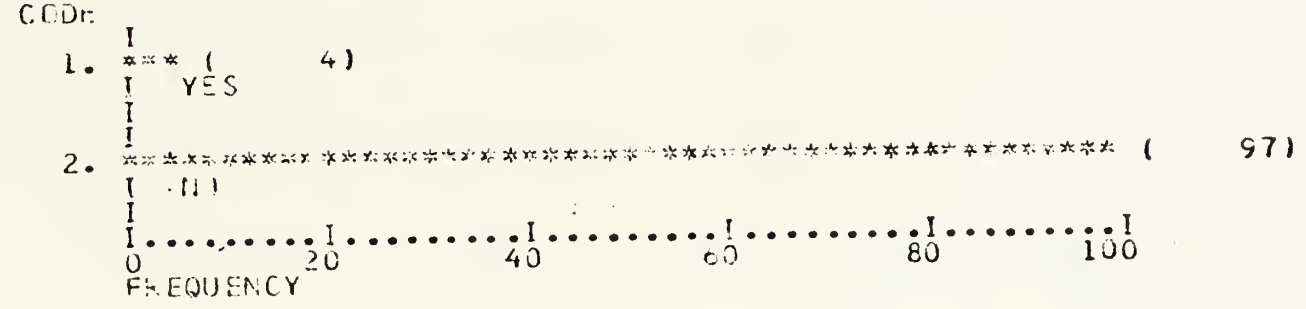


MEAN	1.762	STD ERR	0.043	MEDIAN	1.844
MODE	2.000	STD DEV	0.428	VARIANCE	0.183
KURTOSIS	-0.443	SKEWNESS	-1.252	RANGE	1.000
MINIMUM	1.000	MAXIMUM	2.000		
VALID CASES	101	MISSING CASES	0		

DEVELOPMENT NEEDS

CATEGORY LABEL	CODE	ABSOLUTE FREQ	RELATIVE FREQ (PCT)	ADJUSTED FREQ (PCT)	CUM FREQ (PCT)
YES	1.	4	4.0	4.0	4.0
NO	2.	97	96.0	96.0	100.0
	TOTAL	101	100.0	100.0	

DEVELOPMENT NEEDS

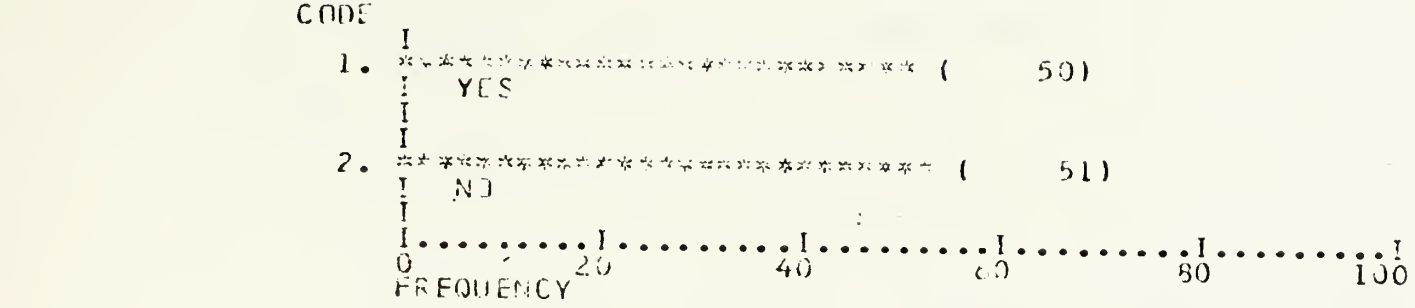


MEAN	1.960	STD ERR	0.020	MEDIAN	1.979
MODE	2.000	STD DEV	0.196	VARIANCE	0.038
KURTOSIS	21.395	SKEWNESS	-4.793	RANGE	1.000
MINIMUM	1.000	MAXIMUM	2.000		
VALID CASES	101	MISSING CASES	0		

INTEGRATED REPORT

CATEGORY LABEL	CODE	ABSOLUTE FREQ	RELATIVE FREQ (PCT)	ADJUSTED FREQ (PCT)	CUM FREQ (PCT)
YES	1.	50	49.5	49.5	49.5
NO	2.	51	50.5	50.5	100.0
	TOTAL	101	100.0	100.0	

INTEGRATED REPORT



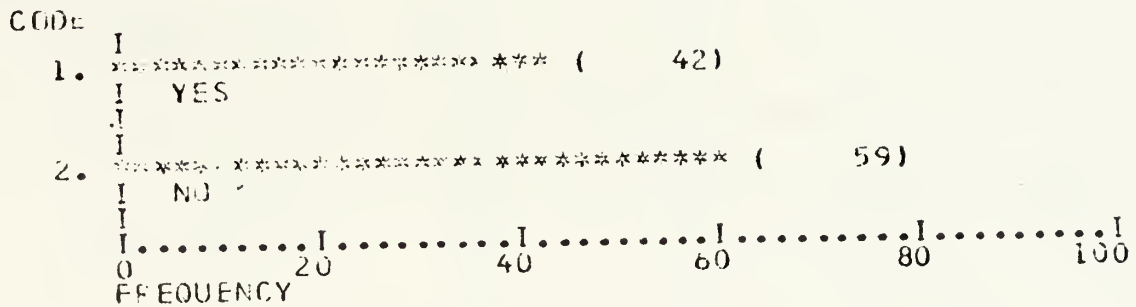
MEAN	1.505	STD ERR	0.050	MEDIAN	1.510
MODE	2.000	STD DEV	0.502	VARIANCE	0.252
KURTOSIS	-2.040	SKEWNESS	-0.020	RANGE	1.000
MINIMUM	1.000	MAXIMUM	2.000		

VALID CASES 101 MISSING CASES 0

SPECIFIC REASONS FOR ASSIGNED MARKS

CATEGORY LABEL	CODE	ABSOLUTE FREQ	RELATIVE FREQ (PCT)	ADJUSTED FREQ (PCT)	CUM FREQ (PCT)
YES	1.	42	41.6	41.6	41.6
NO	2.	59	58.4	58.4	100.0
	TOTAL	101	100.0	100.0	

SPECIFIC REASONS FOR ASSIGNED MARKS

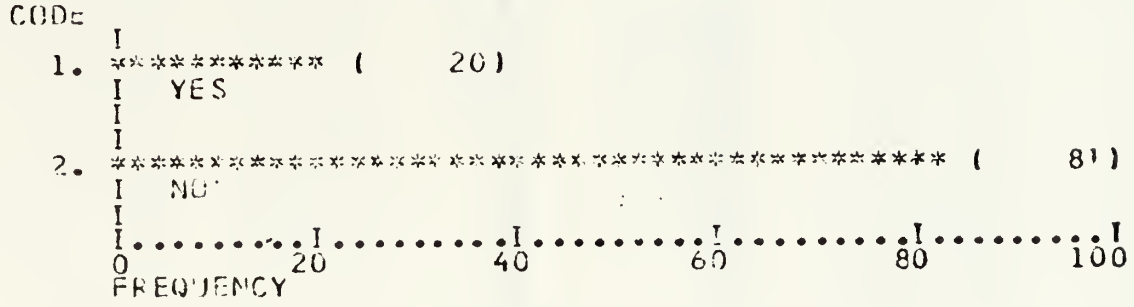


MEAN	1.584	STD ERR	0.049	MEDIAN	1.644
MODE	2.000	STD DEV	0.495	VARIANCE	0.245
KURTOSIS	-1.918	SKEWNESS	-0.347	RANGE	1.000
MINIMUM	1.000	MAXIMUM	2.000		
VALID CASES	101	MISSING CASES	0		

CIVIC ACCOMPLISHMENTS

CATEGORY LABEL	CODE	ABSOLUTE FREQ	RELATIVE FREQ (PCT)	ADJUSTED FREQ (PCT)	CUM FREQ (PCT)
YES	1.	20	19.8	19.8	19.8
NO	2.	81	80.2	80.2	100.0
	TOTAL	101	100.0	100.0	

CIVIC ACCOMPLISHMENTS



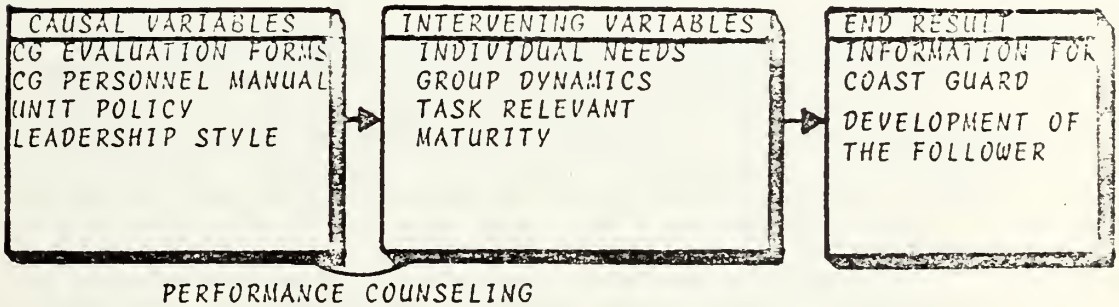
MEAN	1.802	STD ERR	0.040	MEDIAN	1.877
MODE	2.000	STD DEV	0.400	VARIANCE	0.160
KURTOSIS	0.374	SKEWNESS	-1.539	RANGE	1.000
MINIMUM	1.000	MAXIMUM	2.000		
VALID CASES	101	MISSING CASES	0		

APPENDIX G
CHAPTER ON PERFORMANCE EVALUATION FROM CG LEADERSHIP SCHOOL CURRICULUM

Performance Evaluation

Performance evaluation brings together two sets of often conflicting objectives, those of the organization and those of the individual being evaluated. The Coast Guard needs performance evaluation information for many administrative purposes such as advancement, assignment, selection for training, and determination of type of discharge. Individuals desire to have their personal needs for recognition, feedback and growth satisfied by the same system. With these two sets of needs to be satisfied, no set of forms will ever be enough without an effort by the leader.

The forms that we use in evaluating both officers and enlisted personnel should be treated as Causal Variables. The forms and instructions are constraints to live within but are not an end in themselves. If we were to look at performance evaluation in terms of Likert's three variable diagram of leadership it would appear as follows:



Regardless of what forms and instructions are developed, the role of the leader is to choose a leadership style that is consistant with the characteristics of the Intervening Variable and the End Result. In this section we will review just how this is accomplished.

Performance evaluation is a continuous process to support the development of our personnel. It is <u>not</u> a once every six month intervention that serves only as a report card or "end of period autopsy" of what went right and what went wrong. Effectively used, performance evaluation can be valuable to a manager in attempting to work through others to get a job done.

Role Definition

Perhaps the most frequently overlooked aspect of performance evaluation is that of role definition. All too often six months will go by before a subordinate is given some indication as to what is expected. At the end of the evaluation period the subordinate is advised of his performance and then must work backwards to determine what aspects of the job were considered important.

Role definition is a breakdown of a job into its most important activities and should include a means of measuring success or failure. Objectives or goals for the period should be written into the role definition. These can include broad objectives to be accomplished such as "qualify as a radioman watchstander during the first two months of the period" or more specific objectives such as "maintain a less that 1% communications error rate during the period." For the role definition to be meaningful the different aspects of the job should be rank ordered so that the subordinate is aware of the relative weight of each.

For low task relevant maturity subordinates (M1: unwilling and unable) the role should be clearly defined by the senior. As task relevant maturity increases the amount of input from the subordinate increases. For an M2 (willing but unable) subordinate, two-way communications is essential if the role definition session is to be successful. The senior will still play the major role in defining the subordinate's role. At the M3 (unwilling but able) level the subordinate's participation is essential in role definition. M4 (willing and able) subordinates should be able to define their own roles with minimum input from their seniors.

A method for defining the roles of higher task relevant maturity subordinates is for both the senior and subordinate to individually list and rank order the five most important aspects of the subordinate's job. The senior and subordinate should then discuss what differences exist and reach agreement on the five to seven most important job activities.

Contracting for Leadership Style

The five to seven most important job activities may be determined primarily by the senior (for an M1 subordinate), jointly (for M2 and M3 subordinates), or primarily by the subordinate (for M4 subordinates). Once this is done a task relevant maturity for each job activity should be determined. At this point the leader should indicate what leadership style will be used to guide and support the subordinates during the period. This indication of the senior's role is referred to as contracting for leadership style.

Observation, Feedback and Documentation

During the six month evaluation the performance of the subordinate should be observed and feedback given. This feedback can take the form of positive reinforcement (strokes) or corrective action. The feedback should be given as soon as possible after the behavior is observed. Feedback to be meaningful should be task relevant and timely. Both positive and negative observable behaviors should be recorded with an indication of the feedback given. This documentation will provide the information necessary to counsel and develop the subordinate. Counseling sessions should be held every two months to review progress, provide feedback, and adjust the subordinate's role definition as necessary. A minimum of three "ways to improve" performance should also be given. At the completion of these counseling sessions, the senior should discuss the performance of the subordinate with his/her senior. A sample four page form is attached to this section to clarify the performance evaluation procedure.

Summary

Performance evaluations are a continuous process that can aid in the development of subordinates. As in all leadership situations Causal Variables (forms and instructions) are guidelines in which we must apply our leadership style. No perfect set of performance evaluation forms will ever be developed that will relieve us of our responsibility to develop our subordinates.

Performance Evaluation and Counseling Record

Name	SSN	Rank/Rate/Grade
Division	Reported Onboard	Reported From

Job Title:

Job Description:

	Most Important Job Activities (Choose 5 to 7 from Job Description)	Assessment of Ability and Willingness	Supervisor's Role in Supporting Most Important Job Activities
1.			
2.			
3.			
4.			
5.			
6.			
7.			

Observations of Positive Behavior	Observations of Negative Behavior
1.	
2.	
3.	
4.	
5.	
6.	
7.	

Special Projects: _____

_____

_____

Training Accomplishments: _____

_____

_____

Overall Comments: _____

_____

_____

_____

_____

_____

_____

Three Ways to Improve Performance: _____

_____

_____

_____

_____

_____

_____ _____

Date Supervisor

Division Officers Comments: _____

_____

_____ _____

Date Supervisor

_____

_____

(Semi-Annual Review Only)

_____

Executive Officer

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John F. Stumpff and Roger D. Chevalier, An Analysis and Proposal for Revision of the Coast Guard Enlisted Performance Evaluation System, Thesis, (Naval Post Graduate School, Monterey, CA, 1976).

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(In this article Mr Oberg discusses the different performance evaluation techniques, describing the advantages and disadvantages of each.)

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(An unpublished performance evaluation course that served as the basis for much of this chapter.)

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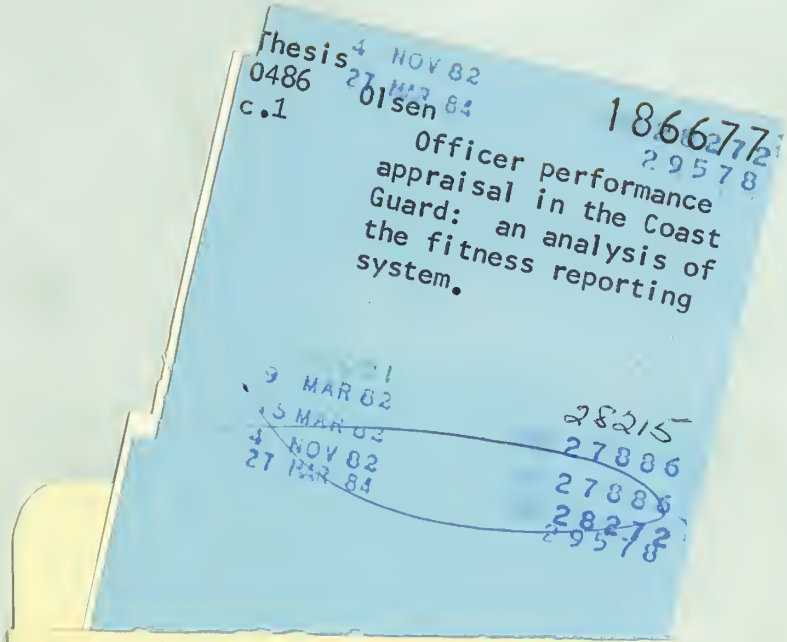
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